# **KENTUCKY HORSE RACING COMMISSION DECEMBER 11, 2013 AGENDA**

Location:

**Rolex Hospitality Room** 4089 Iron Works Parkway

Lexington, KY 40511

Time:

1:30pm

# I. Call to order and roll call

# II. New Business

- 1. Approve minutes of October 22, 2013 Commission Meeting
- 2. Approve Kentucky Racing Health and Welfare Fund Request for payment of unclaimed pari-mutuel tickets
- 3. Approve Kentucky Sire Stakes and County Fair Race Dates
- 4. Approve Turfway Park's 2014 Winter/Spring Meet KTDF allotment request
- 5. Approve Turfway Park's Roster Addendum for Holiday 2013-14 Winter/Spring Meet
- 6. Approve Keeneland's Backside Improvement Request
- 7. Approve 2014 ADW License Conditions to Licensure
- 8. Approve 2014 ADW License Applications
- 9. Racing2Day's Changes in Ownership and 2014 ADW License Application
  - a. Executive Session
- 10. Uniform Medication Proposal
  - a. Proposed amendments to 810 KAR 1:040. Thoroughbred Drug, Medication, and Substance Classification Schedule and Withdrawal Guidelines.
  - b. Proposed amendments to 811 KAR 1:093. Harness Drug, Medication, and Substance Classification Schedule and Withdrawal Guidelines.
  - c. Proposed amendments to 811 KAR 2:093. Quarter horse, appaloosa, and Arabian Drug, Medication, and Substance Classification Schedule and Withdrawal Guidelines.
  - d. Proposed amendments to 811 KAR 1:090. Harness Medication, Testing Procedures, and Prohibited Practices.
  - e. Proposed amendments to 811 KAR 1:095. Harness Disciplinary Measures and Penalties.

# 11. Reports

- a. Thoroughbred Rulings
- b. Standardbred Rulings
- c. Veterinary Division
- d. Pari-Mutuel Wagering Division
- e. Regulations and Litigation

# III. Other Business

1. Presentation of Kentucky Downs' check to KBIF

# V. Adjournment

STEVE BESHEAR
GOVERNOR



ROBERT D. VANCE SECRETARY

ROBERT M. BECK, JR. CHAIRMAN

# PUBLIC PROTECTION CABINET

KENTUCKY HORSE RACING COMMISSION
JOHN T. WARD, EXECUTIVE DIRECTOR
4063 IRONWORKS PKWY, BLDG. B
LEXINGTON, KENTUCKY 40511
TELEPHONE: (859) 246-2040 FAX: (859) 246-2039
WEB SITE: HTTP://KHRC.KY.GOV

TO:

ALL COMMISSION MEMBERS

FROM:

Jamie H. Eads, director, Division of Incentives & Development

DATE:

November 19, 2013

SUBJECT: KENTUCKY RACING HEALTH AND WELFARE FUND

The Kentucky Horse Racing Commission has received the attached request from Richard Riedel seeking payment of the unclaimed pari-mutuel tickets to the Kentucky Racing Health and Welfare Fund. This amount is currently \$2,252,106.12. This total will decrease pending any claims from Turfway Park and Kentucky Downs as well as related advertising expenses.

The following documents are attached:

- Approval of the release of funds from the Kentucky State Auditor
- Copy of the Kentucky Racing Health and Welfare Fund audit report for 2012 prepared by Monroe Shine.

Pursuant, to KRS 230.362, any reported pari-mutuel ticket that has not been claimed within one (1) year from the time the ticket became payable is presumed to be abandoned. Each year, any person or association holding any unclaimed tickets presumed abandoned as of July 1st of that year (in other words, any person holding on July 1st any tickets that have not, as of that date, been claimed for a year or more) is required to create a list of the tickets. The list, which records the amount of each ticket, is then submitted to the Commission by September 1st of the same year. Between November 1st and November 15th, the person or association then turns over to the Commission the sum represented by the tickets as reported.

The tickets presently being turned over to the Kentucky Racing Health and Welfare Fund are therefore over a year old. Specifically, these are the tickets that were originally sold to bettors between July 1, 2011, and June 30, 2012, and were still unclaimed a year (or more) later on July 1st, 2013. KHRC staff informally refers to these tickets as the "2012 tickets."



Below is a copy of the statute regarding payments to the Kentucky Racing Health and Welfare Fund, Inc.

230.374 Payments to Kentucky Racing Health and Welfare Fund, Inc. All sums reported and paid to the authority under the provisions of KRS 230.361 to 230.373, with the exception of funds paid under KRS 230.398, shall be paid by the authority to the Kentucky Racing Health and Welfare Fund, Inc., a nonprofit charitable corporation, organized for the benefit, aid, assistance, and relief of thoroughbred owners, trainers, jockeys, valets, exercise riders, grooms, stable attendants, pari-mutuel clerks, and other thoroughbred racing personnel employed in connection with racing, and their spouses and children, who can demonstrate their need for financial assistance connected with death, illness, or off-the-job injury and are not otherwise covered by union health and welfare plans, workers' compensation, Social Security, public welfare, or any type of health, medical, death, or accident insurance. These sums shall be paid on or before December 31 in each year, however, no payments shall be made by the authority to the Kentucky Racing Health and Welfare Fund, Inc., unless the authority and the Auditor of Public Accounts are satisfied that the fund is in all respects being operated for the charitable and benevolent purposes as set forth in this section and that no part of the funds paid to the fund by the authority or any net earnings of the fund inure to the benefit of any private individual, director, officer, or member of the fund or any of the persons who turned over sums to the authority representing unclaimed pari-mutuel tickets.

COMMIS	SION ACTION
	Approved
	Denied
	Deferred

The following is a brief description of the fund for informational purposes.

Kentucky Racing Health and Welfare Fund. The Kentucky Racing Health and Welfare Fund, Inc. is an independent charitable corporation, organized for the benefit, aid, assistance and relief of thoroughbred owners, trainers, jockeys, valets, exercise riders, grooms, stable attendants, pari-mutuel clerks and other thoroughbred racing personnel employed in connection with racing, and their spouses and children, who can demonstrate their need for financial assistance connected with death, illness or off-the-job injury and are not otherwise covered by union health and welfare plans, workers' compensation, Social Security, public welfare or any type of health, medical, death or accident insurance. Proceeds from unclaimed pari-mutuel tickets provide the revenue for this fund.



# **Unclaimed Parimutuel Tickets for 2013**

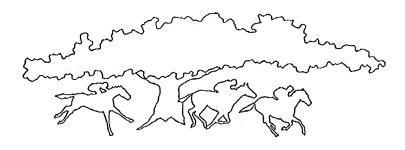
Kentucky Racing Health & Welfare Fund

Attn: Richard Riedel 422 Heywood Ave Louisville, KY 40208-1324

Racing Facility	Amount	Amount claimed	Advertising Paid	Check Received	Total to fund
Churchill Downs	\$1,203,696.66	\$23,732.09	\$1,309.20	\$1,179,964.57	\$1,178,655.37
Ellis Park	\$124,399.57	\$0.00	\$62.54	\$124,399.57	\$124,337.03
Keeneland	\$606,716.89	\$39.00	\$602.49	\$606,716.89	\$606,075.40
Kentucky Downs	\$98,250.65	<del>.</del>			\$98,250.65
КҮ ОТВ	\$39,254.48	\$1,881.42	\$1,409.40	\$37,373.06	\$35,963.66
Turfway Park	\$208,894.53	The second secon	\$70.52	anamore announcement (Const. Const. C	\$208,824.01

Total	\$2,281,212.78	\$25,652.51	\$3,454.15	\$1,948,454.09	\$2,252,106.12

Monies to be turned over to the KY Racing Health & Welfare Fund pursuant to KRS 230.374



# KENTUCKY RACING HEALTH & WELFARE FUND

RICHARD P. RIEDEL • Executive Director MARLISA YOUNG • Director of Operations 422 Heywood Avenue Louisville, KY 40208 (502) 636-2900 Fax (502) 636-2955

November 8, 2013

Kentucky Horse Racing Commission
Attn: Jamie Eads, Director, Division of Breeders' Incentives
4063 Iron Works Pike, Building B
Lexington, KY 40511

Dear Jamle,

Please place our request for the transfer of funds due to the Fund on December 31, 2013 on the agenda of the next Commission meeting.

Earlier this year the we submitted to the Commission our 2012 audit report and a final approval from the Kentucky State Auditor indicating that he is satisfied that the Kentucky Racing Health and Welfare Fund is, in all respects, being operated for the charitable and benevolent purposes as provided in KRS 230.374.

As always, if there is any additional information you need please contact me.

I sincerely appreciate your assistance in this matter.

Yours truly,

Richard P. Riedel
Executive Director

RECEIVED

NOV 1 2 2013

KENTUCKY HORSE RACING COMMISSION



# ADAM H. EDELEN AUDITOR OF PUBLIC ACCOUNTS

November 1, 2013

Richard P. Riedel
Executive Director
Kentucky Racing Health and Welfare Fund, Inc.
422 Heywood Avenue
Louisville, KY 40208

Re: KRS 230.374 - Transfer of Funds to the Kentucky Racing Health and Welfare Fund, Inc.

Dear Mr. Riedel:

Your letter to me, dated June 14, 2013, enclosed the 2013 Budget of the Kentucky Racing Health and Welfare Fund, Inc. (Fund), as approved April 18, 2013, for the anticipated charitable and benevolent expenses of the Fund. Your letter also enclosed the 2012 audit report of the Fund.

Please be advised that the Auditor's staff has reviewed these documents and is satisfied that the 2013 anticipated expenditures for the Fund are for charitable and benevolent purposes, as required by KRS 230.374, or for reasonable administrative purposes.

Sincerely.

Robert E. McBeath General Counsel

c: Libby Carlin Brian Lykins

209 St. CLAIR STREET FRANKFORT, KY 40601-1817 TELEPHONE 502.564.5841
FACSIMILE 502.564.2912
WWW.AUDITOR.KY.GOV

AN EQUAL OPPORTUNITY EMPLOYER MIFID





1200 FOREST BRIDGE RO, SUITE 200, LOUISVILLE, KY 40223 \* PO BOX 22039, LOUISVILLE, KY 40252 \* PHONE: 302.423.0311 \* FAX: 502.339.7103

### Independent Auditor's Report

Board of Directors Kentucky Racing Health and Welfare Fund, Inc. Louisville, Kentucky

We have audited the accompanying financial statements of the Kentucky Racing Health and Welfare Fund, Inc., which comprise the statements of net assets – modified cash basis as of December 31, 2012 and 2011, and the related statements of revenues, expenses, and other changes in net assets – modified cash basis for the years then ended, and the related notes to the financial statements.

# Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with the modified cash basis of accounting; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

### Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

### Opinion

In our opinion, the financial statements referred to above present fairly, an all material respects, the financial position of the Kentucky Racing Health and Welfare Fund, Inc. as of December 31, 2012 and 2011, and the results of its operations and its cash flows for the years then ended in accordance with the basis of accounting described in Note 1.

### **Basis of Accounting**

We draw attention to Note 1 of the financial statements, which describes the basis of accounting. The financial statements were prepared on a modified cash basis of accounting, which is a comprehensive basis of accounting other than accounting principles generally accepted in the United States of America. Our opinion was not modified with respect to that matter.

Mouse Shine Louisville, Kentucky June 5, 2013

# KENTUCKY RACING HEALTH AND WELFARE FUND, INC. STATEMENTS OF NET ASSETS - MODIFIED CASH BASIS DECEMBER 31, 2012 AND 2011

# ASSETS

CLIDDENIA A CCEAC		<u>2012</u>		<u>2011</u>
CURRENT ASSETS				
Cash and cash equivalents:	\$	150,287	\$	30,338
Checking and petty cash	ψ	242,978	φ	302,307
PNC operating cash PNC reserve cash		46,355		29,342
Total cash and equivalents	***************************************	439,620		361,987
Total cash and equivalents	But down West and	439,020		301,207
Marketable securities		4,324,768		4,166,986
Total Current Assets	Carrie and Chris	4,764,388		4,528,973
	•			
OTHER ASSETS				
Notes receivable and advances		1,980,483		1,752,403
Land	•	126,435	de la companiona de la co	126,435
Total Other Assets	Accounts of the	2,106,918	WARREN THE	1,878,838
Total Assets	Badros Birlandorm Badros colono de colono	6,871,306		6,407,811
LIABILITIES A	ND NET ASS	ETS		
CURRENT LIABILITIES				
Payroll withholding		2,428		2,048
Total Current Liabilities	, grandensensensensensensensensensensensensense	2,428	******	2,048
NET ASSETS				
Unrestricted		6,845,913		6,405,763
Temporarily restricted		22,965		.,,
Total Net Assets	Design de Service de Constitute de Constitut	6,868,878		6,405,763
TOTAL INCL WASCIS	<del>Francis de la la</del>	0,000,070		0,700,700
Total Liabilities and Net Assets	\$	6,871,306	\$	6,407,811

# KENTUCKY RACING HEALTH AND WELFARE FUND, INC. STATEMENTS OF REVENUES, EXPENSES, AND OTHER CHANGES IN NET ASSETS - MODIFIED CASH BASIS YEARS ENDED DECEMBER 31, 2012 AND 2011

DIMIDAKIN		<u>2012</u>		<u> 2011</u>
REVENUE VPG 222 274 x mm/s	\$	2 202 406	ø	2,294,542
KRS 230.374 grant	Ф	2,293,496 24,098	\$	2,294,342
Bereavement and disability grant		•		91,049
T.A.C.K. grant		26,867 25		91,049
Public contributions		197,793		158,369
Interest and dividend income		75,432		75,141
Gain on sale of marketable securities		101,075		(113,962)
Net unrealized gain (loss) on marketable securities		3,000		3,000
Sublease rental income	******	2,721,786	······································	2,517,384
Total Revenue		2,721,760		2,317,304
EXPENSES				
Claims paid:				
Hospitals - approved gross billings		577,473		709,105
Negotiated credit		(391,681)		(477,981)
Doctors - approved gross billings		655,920		748,283
Negotiated credit		(152,871)		(181,312)
Dentists		225,730		234,715
Orthodontia		209		3,771
Vision		14,832		16,144
Prescription - approved gross billings		234,893		257,464
Negotiated credit		(410)		(2,455)
Peridontia		10,534		9,073
Chiropractors		11,741		12,183
Ambulance and transportation		3,628		4,453
Financial aid		23,120		17,134
Funeral expenses		30,406		23,667
Hearing aids		12,000		8,000
Medical records		2		21
Mental health		14,218		28,052
Acupuncture		3,305		3,585
Kentucky Racing Health Services Center - Louisville		146,352		140,628
Horsemen's Wellness Center - Turfway Park		14,780		25,000
Bereavement and disability expense		1,133		-
Administrative		549,317		542,387
PNC investment management fce		17,043		27,117
Kentucky Race Track Retirement Plan		256,997		256,324
Total Expenses		2,258,671		2,405,358
Increase in Net Assets		463,115		112,026
		6,405,763		6,293,737
Net Assets, Beginning of Year				
Net Assets, End of Year	\$	6,868,878	\$	6,405,763
Designated reserve account	\$	4,371,123	\$	4,196,328
Restricted bereavement and disability		22,965		•
All other assets		2,474,790		2,209,435
Net Assets, End of Year	\$	6,868,878	\$	6,405,763

See notes to financial statements.

# (1) SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

# **Nature of Operations**

The Kentucky Racing Health and Welfare Fund, Inc., (Fund) a non-profit charitable corporation, was formed in 1978 pursuant to KRS 230.374.

The Fund is organized for the benefit, aid, assistance and relief of owners, trainers, jockeys, valets, exercise riders, grooms, stable attendants, pari-mutuel clerks and other racing personnel employed in connection with thoroughbred racing and their spouses and children who demonstrate need for financial assistance connected with death, illness, off-the-job injury and are not otherwise covered by union health and welfare plans, workers' compensation, social security, public welfare or any type of health, medical, death or accident insurance.

Pursuant to KRS 230.374 the Fund receives an annual grant which represents uncashed thoroughbred pari-mutuel tickets. No payment is made to the Fund unless the Kentucky Horse Racing Commission and the Kentucky Auditor of Public Accounts are satisfied the Fund is, in all respects, operated for the charitable and benevolent purposes set forth in KRS 230.374 and 230.375 and no part of the grant paid to the Fund or any net earnings of the Fund inure to the benefit of any individual, director, officer, member of the Fund, or persons who turned over sums to the Commission representing unclaimed pari-mutuel tickets. These payments are restricted by law and are only available for use as set forth in KRS 230.374 and 230.375.

The Fund sponsors the Kentucky Race Track Retirement Plan. The Plan, with discretionary contributions, was established pursuant to KRS 230.375 and is administered for the benefit of eligible participants.

### **Basis of Presentation**

These financial statements are presented on the modified cash basis of accounting, another comprehensive basis of accounting. The modified cash basis of accounting incorporates elements of both the cash basis of accounting and generally accepted accounting principles (GAAP). Consequently, revenues are recognized when received and certain expenses and purchases of assets are recognized when cash is disbursed. Depreciation of property and equipment is reported in the financial statements.

The primary difference between the Fund's modified cash basis of accounting and GAAP relates to the recognition of liability for claims incurred in one year and paid in the next. GAAP would recognize the liability and expense when incurred whereas the modified cash basis recognizes the expense when paid. Management has concluded determining the amount of these claims and the associated expense is an undue administrative burden, speculative and would provide minimal additional financial information.

Management has concluded the modified cash basis of accounting provides an accurate reflection of the Fund's economic activity and operations, accommodates the preparation of operating budgets, internal and external financial statements and facilitates the comparison of budgets to financial statements.

### (1 – continued)

Financial statement presentation follows the recommendations of the Financial Accounting Standards Board which requires the Fund to report information regarding its financial position and activities according to three classes of net assets: unrestricted net assets, temporarily restricted net assets, and permanently restricted net assets. The Fund does not have permanently restricted net assets.

Certain prior year accounts have been reclassified to conform with current year presentations.

# Cash and Cash Equivalents

The Fund considers all cash accounts, which are not subject to withdrawal restrictions or penalties, and all highly liquid debt instruments purchased with a maturity date of three months or less to be cash and cash equivalents in the financial statements.

### Investments

Investments in marketable securities with readily determinable fair values are measured at fair market value in the statement of net assets. The unrealized gains or losses on investments are included in the change in net assets. Gains and losses on the marketable securities are determined based upon the specific securities sold.

### Mortgage Notes Receivable

Mortgage notes receivable are carried at their estimated collectable amounts. Interest income on mortgage notes receivable is recognized using the cash method. Interest income on impaired loans is recognized as cash is collected or on a cost-recovery basis. Provisions for losses on mortgage notes receivable are determined on the basis of loss experience, known and inherent risks, the estimated value of underlying collateral, and current economic conditions.

### Concentration of Credit Risk

The Fund maintains its cash at financial institutions and at times the balances may be in excess of federally insured limits. At December 31, 2012, the Fund had no uninsured amounts.

# Use of Estimates

The Fund uses estimates and assumptions in preparing these financial statements in accordance with its modified cash basis of accounting. These estimates and assumptions affect the reported amounts of assets and the reported expenses, primarily the capitalization and depreciation of long-lived assets. Actual results could vary from the estimates that were used.

### **Income Taxes**

The Fund is exempt from federal and state income taxes under Section 501(c) (3) of the Internal Revenue Code. Accordingly, the financial statements do not provide for income taxes.

# (1 - continued)

The Fund has implemented the accounting guidance for uncertainty in income taxes. Under that guidance, tax positions need to be recognized in the financial statements when it is more-likely-than-not the position will be sustained upon examination by the tax authorities. As of December 31, 2012, the Fund has no uncertain tax positions that qualify for either recognition or disclosure in the financial statements. The Fund files a federal Form 990. 990's filed for tax years ended on or after December 31, 2009 are subject to examination. The Fund is not currently being examined and management believes its tax-exempt status would be upheld under examination.

# (2) INVESTMENT IN MARKETABLE SECURITIES

The following is a summary of the Fund's investment in a designated reserve account as of December 31, 2012 and 2011:

	Amortized Cost	Gross Unrealized Gains	Gross Unrealized Losses	Fair Value
December 31, 2012:				
Corporate bonds	\$ 99,387	\$ 3,870	\$ -	\$ 103,257
U.S. treasury bonds	338,422	5,729	3,995	340,156
Mutual funds - fixed income	2,509,281	33,466	•	2,542,747
Mutual funds - equity	586,598	91,067	1,898	675,767
Exchange traded funds	179,522	80,789		260,311
Equities	288,170	121,955	7,595	402,530
1	\$ <u>4,001,380</u>	\$ 336,876	\$ 13,488	\$ 4,324,768
December 31, 2011:				
Corporate bonds	\$ 204,518	\$ 7,108	\$ 2,355	\$ 209,271
U.S. treasury bonds	496,602	13,969	4,376	506,195
Mutual funds – fixed income	2,149,998	13,819	10,886	2,152,931
Mutual funds - equity	601,276	61,265	1,748	660,793
Exchange traded funds	190,976	53,198	•	244,174
Equities	301,302	104,105	11,785	393,622
*	\$ <u>3.944,672</u>	\$ 253,464	\$ 31,150	<u>\$ 4,166,986</u>

The Fund holds the above securities, invested in a designated reserve account, to ensure its ability to continue operations as set forth in KRS 230.374 and 230.375. In recent years, the Fund's annual budgeted expenditures have exceeded the grants received from uncashed pari-mutuel tickets. The Fund's board of directors and management consider this reserve and the related income generated, necessary to continue the operations of the Fund. The reserve investment helps management continue to provide health and welfare benefits despite the uncertainty about the amounts and timing of the grants received and benefits provided.

# (3) FAIR VALUE MEASUREMENTS

The Fund adopted the provisions of ASC 820 Fair Value Measurements, for financial assets and financial liabilities. The Fund has no nonfinancial assets and nonfinancial liabilities determined at fair value.

# (3 – continued)

ASC 820 defines fair value as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. ASC 820 establishes a fair value hierarchy that prioritizes the use of inputs used in valuation methodologies into the following three levels:

- Level 1: Inputs to the valuation methodology are quoted prices, unadjusted for identical assets or liabilities in active markets. A quoted market price in an active market provides the most reliable evidence of fair value and shall be used to measure fair value whenever available.
- Level 2: Inputs to the valuation methodology include quoted market prices for similar assets or liabilities in active markets; inputs to the valuation methodology include quoted market prices for identical or similar assets or liabilities in markets that are not active; or inputs to the valuation methodology that are derived principally from or can be corroborated by observable market data by correlation or other means.
- Level 3: Inputs to the valuation methodology are unobservable and significant to the fair value measurement. Level 3 assets and liabilities include financial instruments whose value is determined using discounted cash flow methodologies, as well as instruments for which the determination of fair value requires significant management judgment or estimation.

A description of the valuation methodology used for instruments measured at fair value, as well as the general classification of such instruments pursuant to the valuation hierarchy, is set forth below. The table below presents the balance of the assets measured at fair value on a recurring basis as of December 31, 2012 and 2011.

	Carrying Value							
	L	evel 1	Į	evel 2	Ţ	evel 3		<u>Total</u>
December 31, 2012					-			
Assets Measured on a Recurring	Basi	s						
Marketable Securities								
Corporate bonds	\$	103,257	\$	-	\$	-	\$	103,257
U.S. treasury bonds		340,156		•		-		340,156
Mutual funds - fixed income		2,542,747		*				2,542,747
Mutual funds - equity		675,767		-		•		675,767
Exchange traded funds		260,311		-		-		260,311
Equities		402,530		-		-		402,530
December 31, 2011								
Assets Measured on a Recurring	Basi.	S						
Marketable Securities							,	
Corporate bonds	\$	209,271	\$	-	\$	-	\$	209,271
U.S. treasury bonds		506,195				-		506,195
Mutual funds - fixed income	2	2,152,931		-		-	:	2,152,931
Mutual funds – equity		660,793		-				660,793
Exchange traded funds		244,174		-		-		244,174
Equities		393,622		-		•		393,622

# (3 - continued)

Marketable securities. Marketable securities are reported at fair value on a recurring basis. These securities are classified as Level 1 of the valuation hierarchy are where quoted market prices from reputable third-party brokers are available in an active market. If quoted market prices are not available, the Fund obtains fair value measurements from independent pricing services. The Company's valuation methodologies may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. While management believes the Company's valuation methodologies are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different estimate of fair value at the reporting date.

# (4) RELATED PARTY MORTGAGE NOTES AND ADVANCES

The Fund advanced cash to The Old School, LLC and Back Track, Inc. These entities are related parties with members common to both boards of directors. The advances were for operations, the purchase and renovation of a building, and payment of professional fees. At December 31, 2012 and 2011, unpaid advances amounted to \$1,932,898 and \$1,747,898, respectively to The Old School, LLC. At December 31, 2012 and 2011, unpaid advances amounted to \$47,585 and \$4,505, respectively to Back Track, Inc.

The Fund has non-interest bearing mortgage notes receivable from The Old School, LLC at December 31, 2012 and 2011 as follows:

	<u>2012</u>	<u>2011</u>
Non-interest bearing note to the Fund, due		
August 8, 2019, secured by a 2 <sup>nd</sup> real estate mortgage	\$ 1,218,931	\$ 1,218,931
Non-interest bearing note to the Fund, due		
May 1, 2021, secured by a 3 <sup>rd</sup> real estate mortgage	285,538	285,538
Non-interest bearing note to the Fund, due		
May 1, 2021, secured by a 4th real estate mortgage	173,429	173,429
Non-interest bearing note to the Fund, due		
May 1, 2021, unsecured	255,000	70,000
Total mortgage notes receivable	\$ <u>1,932,898</u>	<u>\$ 1,747,898</u>

During 2011, \$70,000 was advanced to The Old School, LLC under an unsecured, non-interest bearing note agreement. This agreement originally allowed for borrowings of up to \$75,000. During 2012, this agreement was modified, and an additional \$185,000 was advanced to The Old School, LLC.

# (5) T.A.C.K. GRANT

During 2011, the Thoroughbred Addiction Council of Kentucky (T.A.C.K.) began the process of dissolving in accordance with consent of its board of directors. As part of the dissolution process, funds previously contributed were returned to the original contributors. Consequently, the Fund received grants totaling \$91,049 as repayment of unused historical contributions during 2011.

# (6) OPERATING LEASE AND SUBLEASE

The Fund leases office space from The Old School, LLC. The initial term of the lease expired January 1, 2009 but has renewed automatically four times for one year terms. The Fund has six additional one year renewal options.

Rent paid under the lease amounts to \$1,500 per month. The lease agreement also contains a provision which requires the Fund to reimburse The Old School, LLC for its share of certain expenses. Total rent expense for the year ended December 31, 2012 was \$18,000.

The Fund uses a portion of the leased space for its offices and subleases the remaining space. The Fund leases a portion of its space to a tenant for \$250 per month. The lease expired March 31, 2013. Total rent received under this sublease for the year ended December 31, 2012 was \$3,000.

# (7) KENTUCKY RACE TRACK RETIREMENT PLAN

The Kentucky Race Track Retirement Plan is funded with discretionary contributions from the Fund. Contributions to the Plan were \$250,000 and \$250,000 for the years ended December 31, 2012 and 2011, respectively. The Fund also paid related administration expenses for the Plan of \$6,997 and \$6,324 for the years ended December 31, 2012 and 2011, respectively.

# (8) EMPLOYEE RETIREMENT PLAN

The Fund has a simplified employee retirement plan for all employees with over three years of service. The Fund's contribution equals 8% of the participant's compensation. The Fund's contributions to the plan amounted to \$20,394 and \$20,027 for the years ended December 31, 2012 and 2011, respectively.

# (9) DEVELOPER FEE RECEIVABLE

In 2002, the Fund entered into a development agreement with The Old School, LLC to supervise the rehabilitation of the building owned by The Old School, LLC. The development agreement required The Old School, LLC to pay the Fund a development fee in the amount of \$743,681. The remaining unpaid balance of \$320,252 is evidenced by an unsecured note payable to the Fund. This note carries an interest rate of 6.0% and is due May 1, 2021 with interest.

# (10) SUBSEQUENT EVENTS

The Fund has evaluated subsequent events for recognition or disclosure through June 5, 2013, the date these financial statements were issued.

As of June 5, 2013, the Fund received grants of uncashed thoroughbred pari-mutuel tickets totaling \$2,191,805.



1200 FOREST BRIDGE RD, SUITE 200, LOUISVILLE, KY 40223 + PO BOX 22039, LOUISVILLE, KY 40252 + PHONE: 502.423.0311 + FAX: 502.339.7103

# Independent Auditor's Report on Supplementary Information

Board of Directors
Kentucky Racing Health and Welfare Fund, Inc.
Louisville, Kentucky

We have audited the financial statements of Kentucky Racing Health and Welfare Fund, Inc. for the years ended December 31, 2012 and 2011, and our report thereon dated June 5, 2013, which expressed an unqualified opinion on those financial statements, appears on page three. Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The supplementary information included in pages 14 and 15 is presented for purposes of additional analysis and is not a required part of the basic consolidated financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or the financial statements themselves, and other additional procedures in accordance with audit standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the consolidated financial statements as a whole.

Mouve Shine Louisville, Kentucky June 5, 2013

# KENTUCKY RACING HEALTH AND WELFARE FUND, INC. ADMINISTRATIVE EXPENSES YEARS ENDED DECEMBER 31, 2012 AND 2011

		<u>2012</u>	2	011
Salaries	\$	283,421	\$	276,323
Payroll taxes		21,811		20,832
Contract labor		9,088		9,731
Employee retirement plan		20,394		20,027
Health insurance		74,420		77,738
Travel		4,858		5,204
Meetings		465		264
Accounting		2,975		2,530
Audit		10,450		9,820
Legal		35,250		29,505
Investment advisor		2,888		3,000
General insurance		15,662		14,707
Kentucky thoroughbred racing record		588		1,036
Telephone		10,968		8,681
Postage		2,560		3,268
Office supplies		4,944		5,132
Computer and office equipment		5,100		4,797
Printing and publications		3,682		3,271
Service contracts		4,621		3,889
Continuing education		1,340		1,521
Office cleaning and storage		2,551		1,508
Office site improvement		133		7,865
Miscellaneous		2,183		2,219
Rent		18,000		18,000
Vacant lot maintenance		724		260
Property taxes		290		285
Utilities		5,012		5,937
Health fair marketing		3,017		3,067
Website hosting & publishing		387		527
Payroll processing	-	1,535		1,443
Total Administrative Expenses	\$	549,317	\$	542,387

# KENTUCKY RACING HEALTH AND WELFARE FUND, INC. RETIREMENT PLAN YEARS ENDED DECEMBER 31, 2012 AND 2011

		<u>2012</u>		<u>2011</u>
RETIREMENT PLAN				
Retirement plan contributions	\$	250,000	\$	250,000
Professional fees		4,680		4,500
Office supplies		674		480
Printing and publications		300		270
Travel expense	@namymotrol.imeantoopp	1,343	**************************************	1,074
Total Retirement Plan	\$	256,997	\$	256,324

STEVE BESHEAR GOVERNOR



ROBERT D. VANCE SECRETARY

ROBERT M. BECK, JR. CHAIRMAN

# PUBLIC PROTECTION CABINET

KENTUCKY HORSE RACING COMMISSION
JOHN T. WARD, JR., EXECUTIVE DIRECTOR
4063 IRONWORKS PKWY, BLDG, B
LEXINGTON, KENTUCKY 4051 1
TELEPHONE: (859) 246-2040 FAX: (859) 246-2039
WEB SITE: HTTP://KHRC.KY.GOV

TO: ALL COMMISSION MEMBERS

FROM: Jamie H. Eads, Director, Division of Incentives & Development

DATE: November 19, 2013

SUBJECT: 2014 KENTUCKY SIRE STAKES RACE DATES 2014 KENTUCKY COUNTY FAIR RACE DATES

The following are the proposed race dates for the 2014 Kentucky Sire Stakes. All races will be held at The Red Mile.

Two Year-Olds and Three Year-Olds:

Leg 1—Sunday, August 10, 2014

Leg 2—Thursday, August 21, 2014

Finals: Sunday, August 31, 2014

Attached are the proposed race dates for the 2014 Kentucky County Fairs, as requested by the Kentucky Colt Association. The 2014 County Fair race dates are the usual & customary race dates for the Kentucky County Fairs. There will be no pari-mutuel wagering at the 2014 Kentucky County Fairs.

COMMISSION ACTION:

\_\_\_\_\_ Approved
\_\_\_\_ Deferred
Denied

Approval is recommended.



# KENTUCKY COLT ASSOCIATION P.O. BOX 1539

VERSAILLES, KY. 40383

KENTUCKY RACING COMMISSION IRON WORKS PIKE LEXINGTON, KY. **NOVEMBER 15, 2013** 



# TO WHOM IT MAY CONCERN:

THE KENTUCKY COLT ASSOCIATION RESPECTULLY REQUEST THE FOLOWING DATES FOR THE 2014 KENTUCKY FAIR RACING CIRCUIT.

JUNE 7	BALLARD COUNTY (LACENTER)	1:00 CDT
JUNE 16	PURCHASE DISTRICT (MAYFIELD)	5:00 CDT
JUNE 23	MCCRACKEN COUNTY (PADUCAH)	6:00 CDT
JULY 1	MARION COUNTY (LEBANON)	6:00 EDT
JULY 8	WOODFORD COUNTY (LEBANON)	4:00 EDT
JULY 15	WASHINGTON COUNTY (LEBANON)	4:00 EDT
JULY 26	MERCER COUNTY (RED MILE)	2:00 EDT
AUGUST 2	FAIR FINALS (RED MILE)	2:00 EDT

THANK YOU FOR YOUR CONSIDERATION.

RESPECTFULLY SUBMITTED.

JANET NAPIER, EX. SEC. KY. COLT ASSOCIATION STEVE BESHEAR GOVERNOR



ROBERT D. VANCE SECRETARY

ROBERT M. BECK, JR. CHAIRMAN

# PUBLIC PROTECTION CABINET

KENTUCKY HORSE RACING COMMISSION
JOHN T. WARD, JR., EXECUTIVE DIRECTOR
4063 IRONWORKS PKWY, BLDG, B
LEXINGTON, KENTUCKY 4051 1
TELEPHONE: (859) 246-2040 FAX: (859) 246-2039

WEB SITE: HTTP://KHRC.KY.GOV

TO: ALL COMMISSION MEMBERS

FROM: Jamie H. Eads, Director, Division of Incentives & Development

DATE: December 5, 2013

SUBJECT: KTDF PURSE STRUCTURE - TURFWAY PARK: WINTER/SPRING

MEET

On December 5, 2013 the KHRC received the attached letter from Turfway Park with its upcoming 2014 Winter/Spring Meet KTDF purse structure request.

Turfway Park is seeking approval for KTDF purse payments in the amount of \$692,000. Turfway's projections are based on a payout percentage of 75%. Consistent with other tracks, Turfway Park is seeking permission to pay KTDF funds through last place.

The KTDF Advisory Committee is scheduled to meet on December 9, 2013. Pending the review, approval is recommended.

COMMISSION ACTION	
	Approved
	Deferred
•	Denied





December 5, 2013

Kentucky Horse Racing Commission Attn: John Ward 4063 Iron Works Parkway Lexington, Kentucky 40511

Mr. Ward,

At the end of our Holiday meet we project a KTDF surplus of \$298,806. We are requesting that the Commission approve payments from our account of \$692,000 for our 2014 Winter/Spring meet. This would leave an anticipated surplus in our account of roughly \$45,000 at the conclusion of the meet. This request includes \$50,000 KTDF funds to be allocated to the Horseshoe Casino Cincinnati Spiral Stakes.

Please allow us to exceed the 85% ceiling since funds are available. Our current request assumes a payout of approximately 100% of association purses and an expectation to pay out 75% of KTDF funds as presented in the condition book.

Consistent with other thoroughbred tracks, Turfway will pay out KTDF funds through last place as follows: 1<sup>st</sup> place – 60%; 2<sup>nd</sup> place – 20%; 3<sup>rd</sup> place – 10%; 4<sup>th</sup> place – 5%; 5<sup>th</sup> place – 3%; remaining 2% divided evenly among starters.

Should we determine that more or less funds will actually be available than our current estimates, we would like the latitude to notify the Commission and adjust accordingly. In no event will we exceed the funds available to us.

Respectfully submitted.

Tyler B. Picklesimer

Director of Racing / Racing Secretary

RECEIVED

DEC 0 5 2013

KENTUCKY HORSE RACING COMMISSION

STEVE BESHEAR GOVERNOR



ROBERT D. VANCE SECRETARY

ROBERT M. BECK, JR. CHAIRMAN

# PUBLIC PROTECTION CABINET

KENTUCKY HORSE RACING COMMISSION

JOHN T. WARD, JR., EXECUTIVE DIRECTOR

4063 IRONWORKS PKWY, BLDG. B

LEXINGTON, KENTUCKY 40511

TELEPHONE: (859) 246-2040 FAX: (859) 246-2039

WEB SITE: HTTP://KHRC.KY.GOV

To: Kentucky Horse Racing Commission
From: Marc A. Guilfoil, Director of Racing
Date: December 11, 2013
Re: Addendum to the 2014 Turfway Park Holiday and Winter/Spring meet Racing Officials Roster that was submitted for approval in October.
By attached letter dated December 3, 2013, Mr. Tyler Picklesimer, Racing Secretary for Turfway Park, requests approval of the addition of John Veitch to the roster as paddock judge and entry clerk in the absence of Dan Bork during the Holiday Winter/Spring meet.
Approval is recommended.
COMMISSION ACTION
Approved
Deferred
Denied





December 3, 2013

Kentucky Horse Racing Commission Attn: John Ward 4063 Iron Works Parkway Lexington, Kentucky 40511

Mr. Ward,

Please accept this addendum to the 2014 Turfway Park Holiday and Winter/Spring meet racing official roster that was submitted for approval in October.

For personal reasons, Dan Bork will be taking a few weeks off during the Holiday and Winter / Spring meets. Pending KHRC approval, John Veitch has agreed to fill the void in our roster as the paddock judge and as an entry clerk. Mr. Veitch's responsibilities will mirror those he performed during Keeneland's 2014 Fall Meet.

Respectfully submitted,

Tyler B. Picklesimer

Director of Racing / Racing Sccretary

STEVE BESHEAR GOVERNOR



ROBERT D. VANCE SECRETARY

ROBERT M. BECK, JR. CHAIRMAN

# PUBLIC PROTECTION CABINET

KENTUCKY HORSE RACING COMMISSION JOHN T. WARD, JR., EXECUTIVE DIRECTOR 4063 IRONWORKS PKWY, BLDG. B LEXINGTON, KENTUCKY 40511 TELEPHONE: (859) 246-2040 FAX: (859) 246-2039

WEB SITE: HTTP://KHRC.KY.GOV

TO:

ALL COMMISSION MEMBERS

FROM:

Marc A. Guilfoil

DATE:

November 26, 2013

SUBJECT: Backside Improvement Fund: Keeneland Association

On November 6, 2013, the KHRC received the attached letter from Keeneland Association seeking permission from the Commission to approve the enclosed priority list for backside Once the project is completed, Keeneland Association will seek improvements. reimbursement from the Backside Improvement Fund.

Specifically, the projects include:

- 1. Barn shed row replacement for barn 14.
- 2. 30 electrical heaters for barn tack rooms.
- 3. Sprinkler pipe systems upgrade and fire alarm upgrades for barn area.

Keeneland Association received bids for all of the proposed projects. No bids have been awarded at this time. Keeneland Association has prioritized the improvements in the order listed above and would like the flexibility to complete the projects as the racing and sale calendar permits. Keeneland Association will submit written documentation of the completed projects, final photographs and copies of invoices to the Commission when seeking reimbursement.

Enclosed, please find a description of each project, photographs and the related bids.

KHRC confirms Keeneland Association has \$185,253.01 in available fund from FY13. All reimbursement requests will be reviewed and submitted to the Commission for approval prior to releasing any fund money.

Upon completion of the project, KHRC staff will inspect the repair work and confirm the improvement has been completed. All invoices, photographs and communication will be kept on file for Commission review.



COMMISSIO	N ACTION:
	Approved
	Deferred
	Denied





Keeneland Association, Inc. 4201 Versailles Road Lexington, KY 40510 P.O. Box 1690 Lexington, KY 40588-1690 859 254-3412 Tel. 800 456-3412 859 288-4347 Fax www.keeneland.com

November 6, 2013

Ms. Jamie Eads
Director, Division of Incentives & Development
Kentucky Horse Racing Commission
4063 Iron Works Parkway
Building B
Lexington, KY 40511

Dear Jamie,

Enclosed please find a schedule of proposed backside improvements requested by Keeneland pursuant to your administration of the Backside Improvement Fund (KRS 230.218). All of these expenditures are to improve conditions of the backside for Keeneland Association. We have supplied photographs and copies of itemized estimates.

Keeneland currently has \$185,253.01 in available funds contributed to the Backside Improvement Fund for fiscal year 2013 and the total cost of projects submitted for approval is that entire amount. We would like to request preapproval of all the projects submitted, and be allowed to have some discretion with when they are completed and the amount allocated to each project. When we seek reimbursement upon completion, we will provide the Commission with written documentation, final photographs, and copies of all final invoices on completed projects. This process will allow us to utilize the funds in the most economical and beneficial manner for enhancing our backside.

Thank you for your consideration, and please let me know if you have any questions regarding our request.

Sincerely,

Connie Van Onselder

Vice President and Chief Financial Officer

Enclosures

RECEIVED

NOV 1 2 2013

KENTUCKY HORSE RACING COMMISSION

# 



# Backside Project

10/22/2013

è	ı
t	7
(	)
•	7
(	)
,	
u	Ļ,

parm	
1	
lacements	
ë,	
<u>Ş</u> ,	
14	
Kow I	
ਲ੍ਹ	
ğ	
オ	
-	
Dan	
$\supseteq$	

2) Electrical Heater for Bam Tack Rooms 3) Sprinkler Pipe Systems Upgrade and Fire Alarm Upgrades for Bam Area

90,571,00 Barn 14

84.822.51 Dry Heads, Dry Pipe Valves, Alarm Network 9,859.50 30 Units Ø

\$ 185,253.01

Total Request

Backside Project 2013-2014

# SULLIVAN COZART, INC.

# JOB: KEENELAND BARN SHED ROW REPAIR

BID DATE: 8/21/13

# PROJECT COST SUMMARY REVISED

DIVISION	DESCRIPTION	BARN 14	BARN 18	BARN 23	BARN 25
	A CONTRACTOR OF THE PROPERTY O	ACCUSATION OF THE PARTY OF THE		9,844	9,844
024116	Demolition	9,844	9,844	THE RESERVE OF THE PARTY OF THE	
026000	Excavation	2,493	. 2,493	2,493	2,493
033000	Cast in place concrete	6,106	6,106	6,106	6,106
033300	Concrete flume	4,272	4,272	4,272	• 4,272
040000	Masonry	22,200	22,200	22,200	22,200
	Structural Steel	21,456	21,456	21,456	21,456
	Rough carpentry	3,438	3,438	3,438	3,438
079200	Joint sealants	200	200	. 200	200
	Sliding Door (12 sliders for complete barn)	2,400	2,400	4,800	2,400
099120	Painting	1,300	1,300	1,300	1,300
				,	
	SUBTOTAL	73,709	73,709	76,109	73,709
	GENERAL CONDITIONS	12,549	see 14	see 14	see 14
	SUBTOTAL	86,258	73,709	76,109	73,709
	FEE	4,313	3,685	3,805	3,685
	TOTAL	90,571	77,394	79,914	77,394

Complete	Complete	Complete	Complete
1/2 Flume	1/2 Flume	1/2 Flume	1/2 Flume
(2) Doors	(2) Doors	(4) Doors	(2) Doors

TRIPLE CROWN ELECTRICAL SUPPLY 1105 NANDINO BLVD.

LEXINGTON KY 40511 USA TEL: (869)233-4233 FAX: (869)225-7638 CONTACT: LIZ W

QUOTE FOR: KEEHELAND ASSOC. ACCY: P7-38201 KEENELAND ASSOC.

P O BOX 1690 LUXINOTON, KY 40592 TEL: (859)254-3412

QUOTATION			PAGE 1	
QUOTE    OATE   REV   1010504   09/03/2013 2		REV (I	REV DATE 09/18/2013	
QUOTE EXPIRES 10/03/2013		PREPARED BY		
SLS 5042		NSLS 5555		
FOB SHIPPING POINT		FREIGHT PREPAID		

4.4	 	 
	 •	
CUST PO#		
<u> </u>	 	 
IOB NAME		

LN	QTY	PRODUCT	CODE	DESCRIPTION	PRICE	PER	EXT AMT
01 02		ELECT	EWA30C31	3000W 1PH WALL HEATER	320,65	E	9859.50
03 04	*	YOU HAVE	TO ORDER 5 MINIMUM I	IN ORDER FOR FRT TO BE PPD			
05		DELIVERY	WOULD BE 2-3 MONTHS	FROM CANADA			

TOTAL:

9859.50 \*\*

PLEASE NOTE: This is not an offer to contract, but merely a quotation of current prices for your convenience and information. Orders based on this quotation are subject to your acceptance of C.E.D.'s terms and Conditions. We make no representation with respect to compilance with job specifications.

# **BACKSIDE FUND PROJECTS**

Replace (10) 4" Dry Pipe Valves

\$44,000

· Reason:

No replacement parts for the Dry Pipe Valves we have.

Need to replace 40 Valves.

Replace sprinkler heads in stalls and tack rooms in a 32 stall barn.

\$2200.00 per barn

10 Barns

\$22,000.00

Reason:

Code requires replacement of corroded and dirty

Sprinkler heads

Add Barns 1-10 onto the Fire Alarm network.

\$30,000.00

Reason:

Fire alarms and troubles would go into Security automatically

As it is now, someone has to hear the bell on the outside of the

Barn to know there is an alarm.

Pipe and fittings to repair and replace leaking areas of the Barns fire

\$10,000.00

Riser systems.



Backside Projects for 2013-2014



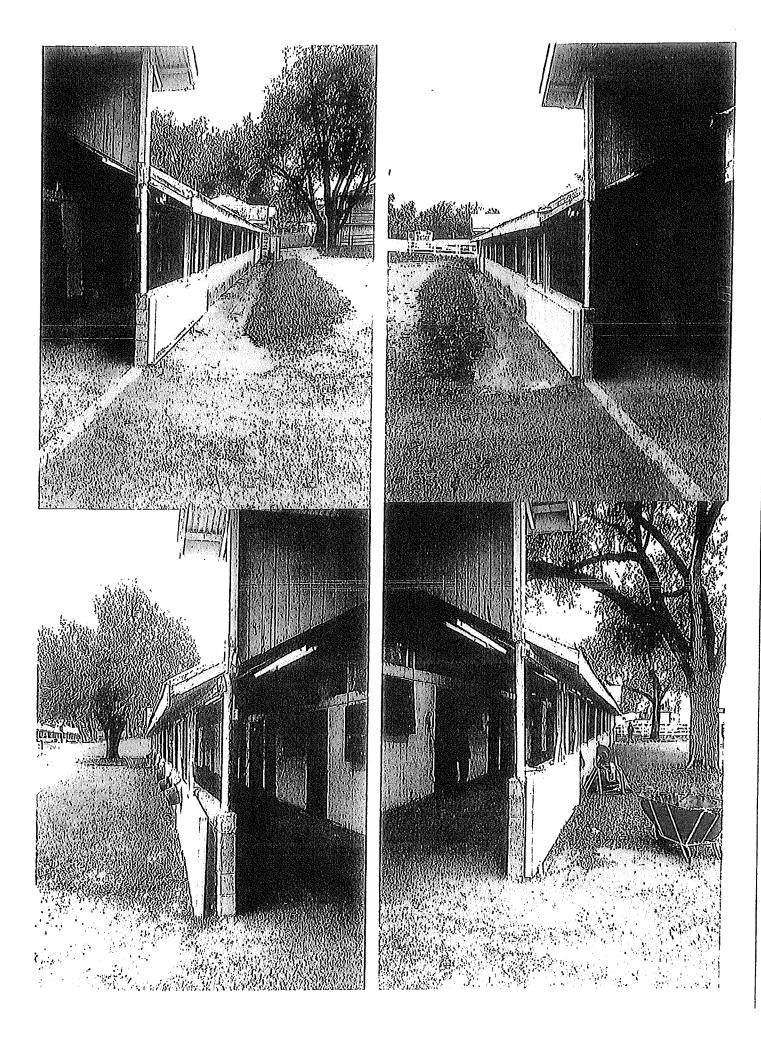
# Backside Project Proposals

# 10/24/13

- 1) Barn Shed Row Replacement 1 Barn \$90,571.00
- 2) Blectrical Heaters for Barn Tack Rooms-30 Units \$9,859.50
- 3) Barn Sprinkler Pipe Systems Upgrade / Fire Alarm Upgrade \$84,822.51

Total Request \$185,253.01

Backside Project Proposals 2013-2014'



# SULLIVAN COZART, INC.

# JOB: KEENELAND BARN SHED ROW REPAIR

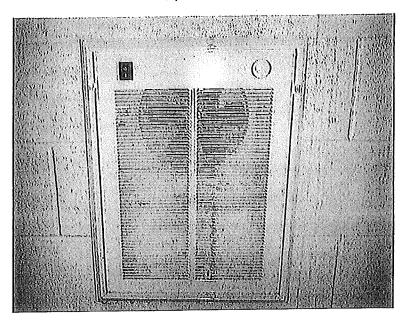
BID DATE: 8/21/13

# PROJECT COST SUMMARY REVISED

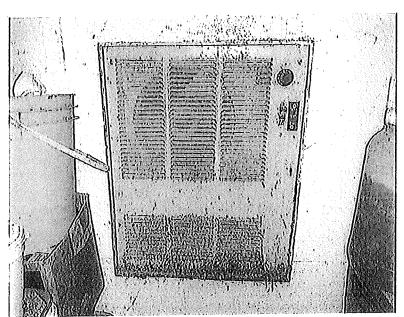
DIVISION	DESCRIPTION	BARN 14	BARN 18	BARN 23	BARN 25
024116	Demolition	9,844	9,844	9,844	9,844
CHARLES AND DESCRIPTION OF THE PARTY NAMED IN	Excavation	2,493	. 2,493	2,493	2,493
033000	Cast In place concrete	6,106	6,106	6,108	6,106
033300	Concrete flume	4,272	4,272	4,272	• 4,272
	Masonry	22,200	22,200	22,200	22,200
	Structural Steel	21,456	21,456	21,456	21,456
- Aller State of the later of t	Rough carpentry	3,438	3,438	3,438	3,438
079200	Joint sealants	200	200	. 200	200
	Sliding Door (12 sliders for complete barn)	2,400	2,400	4,800	2,400
	Painting	1,300	1,300	1,300	1,300
				11941	
	SUBTOTAL	73,709	73,709	76,109	73,709
	GENERAL CONDITIONS	12,549	see 14	see 14	see 14
	SUBTOTAL	86,258	73,709	76,109	73,709
	FEE	4,313	3,685	3,805	3,685
	TOTAL	90,571	77,394	79,914	77,394

Complete	Complete	Complete	Complete
1/2 Flume	1/2 Flume	1/2 Flume	1/2 Flume
(2) Doors	(2) Doors	(4) Doors	(2) Doors

## **New Replacement Heaters**



**Existing Heater to replace** 



TRIPLE CROWN ELECTRICAL SUPPLY 1105 NANDINO BLVD.

LEXINGTON KY 40511 USA TEL: (859)233-4233 FAX: (859)225-7638 CONTACT: LIN W

QUOTE FOR: KEENELAND ASSOC. ACCT: P7-38201 KEENELAND ASSOC.

P O BOX 1690 LEXINGTON, KY 40692 TEL; (869)254-3412

QUOTA	PAGE 1			
QUOTE    1010504	OATE 09/03/2013	REV #	REV DATE 09/18/2013	
QUOTE EXPIRI 10/03/20		PREPARED BY		
SLS 5042	**************************************	INSLS 5555		
FOB SKIPPING	POINT	FREIGHT PREPAID		

CUST PO#	· · · · · · · · · · · · · · · · · · ·			
JOB NAME				

LH QTY	PRODUCT CODE	DESCRIPTION	PRICE	PEREXT AMT
01 30	ELECT EWA30C31	3000W 1PH WALL HEATER	328.65	E 9859.50
02 * 03 *	YOU HAVE TO ORDER 5 MINIMUS	IN ORDER FOR FRT TO BE PPD	•	
04 * 05 *	DELIVERY WOULD BE 2-3 MONTH	IS FROM CANADA		

TOTAL:

9859,50 \*\*

PLEASE NOTE: This is not an offer to contract, but merely a quotation of current prices for your convenience and information. Orders based on this quotation are subject to your acceptance of C.E.D.'s terms and Conditions. We make no representation with respect to compilance with job specifications.

CED - LEXINGTON 1720 FORTUNE COURT 140

LEXINGTON KY 40509-4104 USA TEL: (859)293-0573 FAX: (859)299-8058 CONTACY: LYNDON JONES

QUOTE FOR: C.O.D. ACCT: P6-00007 C.O.D.

SHIP TO: KEENELAND

1720 AFORTUNE CT. LEXINGTON, KY 40509 TEL: (659)293-0573

QUOTA	PAGE 1			
QUOTE # 1101266	OATE 09/18/2013	REV#	REV DATE 09/18/2013	
очота вхэни 10/18/20		PREPAREO BY LFJ		
SLS 0828		NSLS 8727		
FOB SHIPPING I	OINT	FREIGHT PREPAID		

CUST PO #		
IQB NV/IE		

LN	QTY	PRODUCT	CODE				D	escriptic	м		PRICE	PI	EREXT AMI	ľ
01 02		MISC	ENA3(	0031	l						365.40	E	10962.0	ò
03		PLUS FR	eight	TĖ	LESS	THAN	FIVE	ORDERED						

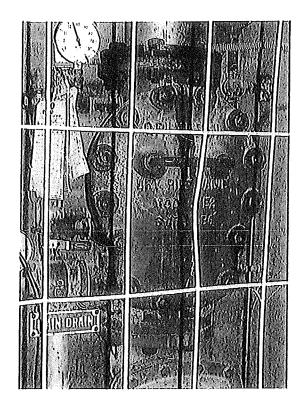
TOTAL:

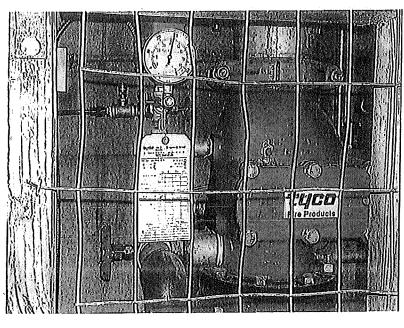
10962,00 \*\*

PLEASE NOTE: This is not an offer to contract, but morely a quotation of current prices for your convenience and information. Orders based on this quotation are subject to your acceptance of C.E.D.'s terms and Conditions. We make no representation with respect to compliance with job specifications.

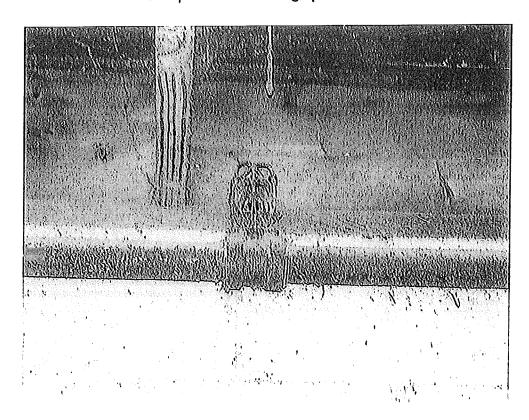
## **Example of Old Existing Dry Pipe Valve**

## **Example of New Existing Dry Pipe**





## **Example of Old Existing Sprinkler Heads**



## **BACKSIDE FUND PROJECTS**

Replace (10) 4" Dry Pipe Valves

\$44,000

Reason:

No replacement parts for the Dry Pipe Valves we have.

Need to replace 40 Valves.

Replace sprinkler heads in stalls and tack rooms in a 32 stall barn.

\$2200.00 per barn

10 Barns

\$22,000.00

Reason:

Code requires replacement of corroded and dirty

Sprinkler heads

Add Barns 1-10 onto the Fire Alarm network.

\$30,000.00

Reason:

Fire alarms and troubles would go into Security automatically

As it is now, someone has to hear the bell on the outside of the

Barn to know there is an alarm.

Pipe and fittings to repair and replace leaking areas of the Barns fire

\$10,000.00

Riser systems.



973 Beasley St Ste 150 LEXINGTON, KY 40509-4262 (859) 294 7233 FAX: (859) 294 0922 www.simplexgrinnell.com

#### SimplexGrinnell Quotation

TO: Keeneland Association PO Box 1690 LEXINGTON, KY 40588-1690

Project: 4010ES Barns 1-10 Customer Reference: SimplexGrinnell Reference: 232419872 Date: 08/21/2013

Date: 08/21/2013 Page 1 of 6

SimplexGrinnell is pleased to offer for your consideration this quotation for the above project.

Comments

SCOPE:

Name: Keeneland

Contact: Eric Soard

Address: 4201 Versailles Rd.

Phone: (859) 221-4363

Contractor: SimplexGrinnell

Salesman: Dave Kielman

Price is for adding a new FACP to barn 5 IT room. SG will install FACP to monitor sprinkler points of the sprinkler system for each barn. SG will pull all wire through available existing conduit into barns 1-10. Keeneland will be responsible for digging up area where pull boxes are located to give SG access to pull boxes. The FACP will network into existing fire alarm network. SG will pull wiring for sprinkler points to each riser location and connecting devices. SG will tie devices into panel. I have included in this quote the IAMS needed to monitor these devices. Also included are the Partitions for Barns 1-10. Price includes installation, installation materials and one time testing/certification of new panel into network. Any issues outside of this scope of work shall be addressed with a fully executed change order.

Price does not include drawings or state submittal fees.

All labor quoted shall be performed during Simplex Orinnell's normal working hours, 8:00AM to 5:00PM Monday thru Friday. No overtime or second shift premium time has been



Project: 4010ES Barns 1-10 Customer Reference: SimplexGrinnell Reference: 232419872 Date: 08/21/2013 Page 2 of 6

## SimplexGrinnell Quotation

Comments (continued)

included in this quotation.

All 120vac power has been excluded in this quote.

Sales / Use tax is not included in this quotation.

To authorize this work, please sign and return this document and forward a purchase order to the fax number listed below.

Thank you,

Dave Kielman SimplexGrinnell PH:859-509-0713 FX:859-294-0922 dkielman@SimplexGrinnell.com

QUANTITY	MODEL NUMBER	DESCRIPTION
	4010 ES	
	New Malerial I	List
1	4010-9402	4010ES FACP 120V PLATINUM
2	2081-9274	BATTERY 10AH
1	4098-9714	PHOTO SENSOR
1	4098-9792	SENSOR BASE
2	2081-9044	OVERVOLTAGE SUPPRÈSSOR
1	ETHEDROP	ETHERNET-NETWORK COMPATIBLE
36	4090-9001	SUPERVISED IAM
1	4010-9922	4010ES NETWORK INTERFACE CARD
2	4010-9819	FIBER NETWORK MEDIA CARD
	Installation	
	INST LAB	INSTALLATION LABOR
1	DPIM	INSTALLATION MATERIALS
	PM LAB	PROJECT/CONSTRUCTION MGMT
	Professional Services	- 4010 ES
	DSGN LAB	DESIGN LABOR
•	CAD LAB	CAD LABOR

Fire, Security, Communications, Sales & Service
Offices & Representatives in Principal Cities throughout North America



Project: 4010ES Barns 1-10 Customer Reference; SimplexGrinnell Reference; 232419872 Date; 08/21/2013 Page 3 of 6

## SimplexGrinnell Quotation

QUANTITY	MODEL NUMBER	DESCRIPTION
	Technical Services - 4010 E	<b>:</b> 8
	COMM LAB	Commissioning Labor
	partition partition	
10	DPFA	Partilions Barns 1-10
	Sprinkler Sprinkler	
1	DPSP INST LAB	DP COMMERCIAL METAL INSTALLATION LABOR

Total net selling price, FOB shipping point, \$28,931.00

STEVE BESHEAR GOVERNOR



ROBERT D. VANCE SECRETARY

ROBERT M. BECK, JR. CHAIRMAN

#### PUBLIC PROTECTION CABINET

KENTUCKY HORSE RACING COMMISSION
JOHN T. WARD, JR, EXECUTIVE DIRECTOR
4063 IRONWORKS PKWY, BLDG. B
LEXINGTON, KENTUCKY 40511
TELEPHONE: (859) 246-2040 FAX: (859) 246-2039
WEB SITE: WWW.KHRC.KY.GOV

TO:

**COMMISSION MEMBERS** 

FROM:

Susan B. Speckert

DATE:

December 11, 2013

SUBJECT: Uniform Medication Proposal

During the December 11, 2013 Commission meeting, Dr. Mary Scollay will give a presentation on the Uniform Medication Proposal. For your consideration, please find attached the following documents:

- 1. Schedule of 24 therapeutic substances.
- 2. Proposed amendments to Withdrawal Guidelines incorporating schedule of 24 therapeutic substances, and adding an additional Class A drug to the Substance Classification Schedule (810 KAR 1:040; 811 KAR 1:093; 811 KAR 2:093). Please note the Withdrawal Guidelines and Classification Schedules for all breeds are identical. For the sake of convenience, the Thoroughbred and Standardbred regulations and incorporated documents are attached.
- 3. Proposed amendments to 811 KAR 1:090 (Standardbred Medication, Testing Procedures and Prohibited Practices). Amendments are proposed to make the Standardbred regulations consistent with the Thoroughbred and Quarter Horse, et al. regulations. Specifically, the proposed amendments include prohibiting the oral administration of phenylbutazone and lowering the threshold for phenylbutazone to 2 micrograms per milliliter of blood serum or plasma.
- 4. Proposed amendments to 811 KAR 1:095 (Standardbred Disciplinary Measures and Penalties).

  Amendments are proposed to make the Standardbred regulations consistent with the

  Thoroughbred and Quarter Horse, et al. regulations. Specifically, the proposed amendments

incorporate the identical penalties as the other breeds for Class C drugs and the permitted NSAIDs flunixin, ketoprofen, and phenylbutazone.

COMMISSION ACTION	,
	_ Approved
	_ Deferred
	Denied

## THERAPEUTIC SUBSTANCES

Substance	Restricted Administration Time	Threshold	Route of Administration	Experimental Administration Dosage
Acepromazine	48 hours	HEPS - 10 ng/mL of urine	Intravenous	0.05 mg/kg
Betamethasone	7 days	10 pg/mL of plasma or serum	Intra-articular	9 mg total in one articular space
Butorphanol	48 hours	Free butorphanol 2 ng/ml of plasma or serum and total butorphanol 300 ng/ml of urine	Intravenous	0.1 mg/kg
Clenbuterol	14 days	140 pg/mL in urine or LOD in plasma or serum	Oral	0.8 mcg/kg
Dantrolene	48 hours	5-OH dantrolene 0.1 ng/mL of plasma or serum	Oral	500 mg total dose
Detomidine	72 hours	3-carboxydetomidine 1 ng/mL of urine and LOD in plasma or serum	Sublingual	40 mcg/kg sublingual
Dexamethasone	72 hours	5 pg/mL of plasma or serum	Intravenous, Intramuscular, Oral	0.05 mg/kg
Diclofenac	48 hours	5 ng/mL of serum or plasma	Topical	5" ribbon of Surpass every 12 hours to one site
DMSO	48 hours	10 mcg/mL of plasma or serum	Intravenous, Oral,Topical,	Up to two ounces
Firocoxib	14 days	20 ng/mL of plasma or serum	Oral	0.1 mg/kg for 4 days
Flunixin	24 hours	20 ng/mL of serum or plasma	Intravenous	1.1 mg/kg
Furosemide	4 hours	100 ng/mL in blood and urine specific gravity < 1.010	Intravenous	500 mg total dose
Glycopyrrolate	48 hours	3 pg/mL of serum or plasma	Intravenous	1 mg total dose
Ketoprofen	24 hours	10 ng/mL of serum or plasma	Intravenous	2.2 mg/kg
Lidocalne	72 hours	20 pg/mL of total 3OH-lidocaine in plasma	Subcutaneous	200 mg total dose
Mepivacalne	72 hours	OH-mepivacaine - 10	Subcutaneous	0.07 mg/kg

		ng/mL in urine or mepivacaine at LOD in plasma or serum	– distal limb	
Methocarbamol	48 hours	1 ng/mL of serum or plasma	Single dose Intravenous or Oral	15 mg/kg
Methylprednisolone	7 days	100 pg/mL in plasma or serum	Intra-articular	100 mg total in one articular space <sup>1</sup>
Omeprazole	24 hours	omeprazole sulfide - 1 ng/mL in urine	Oral	3.9 mg/kg
Phenylbutazone	24 hours	2 mcg/mL of serum or plasma	Intravenous	2.2 mg/kg
Prednisolone	48 hours	1 ng/ml of serum or plasma	Oral	1 mg/kg
Procaine penicillin²	No administration after entry to race	25 ng/mL of serum or plasma	Intra-muscular	17 mg/kg
Triamcinolone acetonide	7 days	100 pg/mL of plasma or serum	Intra-articular	9 mg total in one articular space
Xylazine	48 hours	0.01 ng/ml of plasma or serum	Intravenous	,

<sup>&</sup>lt;sup>1</sup> Note: At the 100 mg experimental dose, the safe time for administration to meet the 100 pg/mL threshold was 21 days – the 7 day withdrawal time anticipates that protocols vary and a smaller dose may be utilized which may allow plasma concentrations to fall below the threshold more quickly.

<sup>2</sup> Also requires: 1. Mandatory notification of administration and 2. mandatory surveillance at the horse owner's expense for 6 hours before racing

- 1 PUBLIC PROTECTION CABINET
- 2 KENTUCKY HORSE RACING COMMISSION
- 3 (Amendment)
- 4 810 KAR 1:040. Drug, medication, and substance classification schedule and withdrawal
- 5 guidelines.

8

9

10

11

12

13

14

15

16

17

18

19

- 6 RELATES TO: KRS 230.210, 230.215, 230.240, 230.260, 230.265, 230.290, 230.320
- 7 STATUTORY AUTHORITY: KRS 230.215, 230.240, 230.260, 230.320
  - NECESSITY, FUNCTION, AND CONFORMITY: KRS 230.215(2) authorizes the Kentucky Horse Racing Commission to promulgate administrative regulations prescribing conditions under which all legitimate horse racing and wagering thereon is conducted in Kentucky. KRS 230.240(2) requires the commission to promulgate administrative regulations restricting or prohibiting the administration of drugs or stimulants or other improper acts to horses prior to the horse participating in a race. This administrative regulation establishes the drug classification schedule in effect in Kentucky and the withdrawal guidelines for permitted drugs, medications, and substances that may be administered to race horses competing in Kentucky.
  - Section 1. The Kentucky Horse Racing Commission Uniform Drug, Medication, and Substance Classification Schedule, KHRC 40-01, shall establish the respective classifications of all substances contained therein. The Kentucky Horse Racing Commission Withdrawal Guidelines Thoroughbred, Quarter Horse, Appaloosa and Arabian, KHRC 40-02, shall provide

- 1 certain mandatory treatment requirements and guidance and advice on withdrawal intervals as
- 2 contained therein.

Section 2. Incorporation by Reference. (1) The following material is incorporated by

2

reference:

- 3 (a) "Kentucky Horse Racing Commission Uniform Drug, Medication, and Substance
  4 | Classification Schedule", KHRC 40-01, <u>December 2013April 2012</u>; and
- (b) "Kentucky Horse Racing Commission Withdrawal Guidelines Thoroughbred, Quarter
   Horse, Appaloosa and Arabian," KHRC 40-02, <u>December November 2013 April 2012</u>.
- 7 (2) This material may be inspected, copied, or obtained, subject to applicable copyright
  8 law, at the Kentucky Horse Racing Commission, 4063 Ironworks Parkway, Building B, Lexington,
  9 Kentucky 40511, Monday through Friday, 8:00 a.m. to 4:30 p.m., or on the commission Web
  10 site at http://khrc.ky.gov.

Kentucky Horse Racing Commission Withdrawal Guidelines Thoroughbred, Quarter Horse, Appaloosa and Arabian KHRC 40-02 (<u>NovemberDecember</u> 201341/134/12)



#### **General Notice**

<u>Unless otherwise specified in these withdrawal guidelines or the applicable regulations and statutes, takes, take</u>

These withdrawal interval guidelines assume that administration of medications will be performed at doses that are not greater than the manufacturer's maximum recommended dosage. Medications administered at dosages above manufacturer's recommendations, and/or in unusual-compounded formulations and/or, in combination with other medications and/or administration inside the withdrawal interval may result in test sample concentrations above threshold concentrations that could lead to positive test results and the imposition of penalties. The time of administration of an orally administered substance, for the purposes of withdrawal interval, shall be considered to be the time of complete ingestion of the medication by the horse via eating or drinking.

In addition to the requirements contained in KRS Chapter 13A, the KHRC shall give notice of an amendment or addition to these withdrawal guidelines by posting the change on the KHRC website and at all Kentucky race tracks at least two weeks before the amendment or addition takes legal effect. Whenever a threshold level or withdrawal guideline contained in 810 KAR 1028 is amended and whenever a concentration level or withdrawal guideline is added to 810 KAR 1028, notice of the date that the new concentration level or new withdrawal guideline takes legal effect will be posted on the KHRC website and at all Kentucky race tracks at least two weeks before said date.

#### Withdrawal Guidelines

1) Furosemide shall be administered pursuant to <u>810 KAR 1:018 for thoroughbreds and 811 KAR 2:096 for quarter horse, appaloosa, and Arabians.</u> current KHRC regulations for eligibility and dose for each breed.

- 2) The following substances may be administered or applied up to the scheduled paddock time of the race in which the horse is to compete:
  - Topical applications such as liniments, leg paints, salves, and ointments which may contain antibiotics or DMSO, but do not contain steroids, anesthetics, or any other prohibited substances.
- 3) The following substances may be administered up to <u>24 hours</u> prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines:
  - Antibiotics (except those containing prohibited drugs such as Procaine);
  - Antiprotozoals (i.e. ponazuril [Marquis®] toltrazuril (Baycox®), SMZ/Daraprim, etc.);
  - Intravenous—(IV)—or—Intramuscular—(IM)—Electrolytes—and—Vitamins,—and/or other-supplements/nutrients-not-containing-drugs;
  - Anti-Ulcer and Gastro-Protective Medications (specifically Omeprazole [Gastrogard®], Cimetidine, Ranitidine, and Sucralfate);
  - Antifungal Agents (specifically Griseofulvin and Ketoconazole);
  - Certain Inhalation Agents (specifically Intal®, and -Mucomystacetylcystlene [Mucomyst®]) that do not exhibit bronchodilator properties;
  - Sodium-lodide (intravenously);
  - Electrolytes, Vitamins and Minerals (IV, IM or oral), and/or other oral supplements/nutrients not containing drugs;
  - Hyaluronic Acid (Legend<sup>®</sup>) IV;
  - Misoprostol;
  - Non-Androgenic Reproductive Hormones (HCG, Regumate, GnRH, etc.);
  - Immunostimulants-(Eqstim, etc.);
  - Polysulfated glycosaminoglycan (Adequan®) Intramuscular (IM); and
  - Proprionibacterium acnes suspension [Eqstim®], or comparable immunostimulants).;
  - Intravenous (IV)-Hyaluronic-Acid (Legend);
  - · Glycopyrrolate IV-2-mg-IV; and
  - Misoprostoli
- 4) Non steroidal anti-inflammatory drugs (NSAIDS):
  - A) ELECTED NSAID: <u>The applicable regulations require compliance with the following:</u> <u>Gonly one of the following three NSAIDS may be administered up to the manufacturer's maximum labeled dosage until <u>24 hours</u> prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on</u>

page 1 of these withdrawal guidelines and the requirements of 810 KAR 1:018 for thoroughbreds and 811 KAR 2:096 for quarter horse, appaloosa, and Arabians.:

- Phenylbutazone (Butazolidin) 2.0 mg/lb (Intravenous Only)
- Flunixin Meglumine (Banamine) 0.5 mg/lb (Intravenous Only)
- Ketoprofen (Ketofen)
   1.0 mg/lb (Intravenous Only)
- B) The following withdrawal intervals shall be observed for all NSAIDS, except for the one selected in 4A above, for administration prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines:

0	Flunixin Meglumine (Banamine®) 0.5 mg/lb IV	48 hrs
8	Phenylbutazone (Butazolidin®) 2.0 mg/lb IV	48 hrs
0	Ketoprofen (Ketofeno) 1.0 mg/lb IV	48 hrs
0	Diclofenac Sodium Topical (Surpass® Cream)	48 hrs
	Single 54" application	
0	Firocoxib* (Equioxxº) .045 mg/lb	
	Single oral or IV dose	48 hrs
	Repeated dally administration	14 days

- 5) The following substances may be administered up to <u>48 hours</u> prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines:
  - Betamethasone 35 mg IM;
  - Dexamethasone (Azium SP) 25 mg-IV/IM-once or 10 mg-PO for 5 days;
  - Acepromazine (Promace®) IV at .05 mg/kg;
  - Beta-2 agonists by inhalation (albuterol, terbutaline, salmeterol, fenotorol);
  - Butorphanol (Torbugesic<sup>®</sup>) IV at 0.1 mg/kg;
  - · Flumethasone (Flucort) 5-mg-IV)
  - Isoflupredone (Predef-2X) 20 mg IV-or-IM;
  - Corticosteroids by inhalation (Azmacort<sup>®</sup>, Beclovent<sup>®</sup>);
  - Dantrolene (Dantrium<sup>®</sup>) oral at 500 mg total dose;
  - DMSO IV, oral, topical up to 60 ml (Intravenous) 100 ml of a 99% solution;
  - Ergot Alkaloids (Ergonovine, Methergine, etc.);
  - Flumethasone (Flucort<sup>®</sup>) 5 mg IV:
  - Glycopyrrolate (Robinol®) IV, 1 mg total dose;
  - Gualacol Derivatives (Gualfenesin);
  - Ipratropium;
  - Isoflüpredone (Predef 2X®) 20 mg IV or IM;

- Isoxsuprine;
- Methocarbamol (Robaxin-V<sup>o</sup>) <u>Single IV or oral dose at 15 mg/kg</u> Intravenous-only;
- · Detomidine (Dormosedan) 5-mg-IV-dose;
- Pentoxyfylline (Trental<sup>®</sup>);
- Prednisolone—oral at 1 mg/kg;
- \*Procaine penicillin IM at 17 mg/kg;
- Beta-2 agonists by inhalation (Allbuterol, terbutaline, salmeterol, fenotorol);
- Corticosteroids by Inhalation-(Azmacort, Beclovent); and
- IpratroplumXylazine--IV.
- \* Mandatory treatment reporting and race day surveillance as described in Threshold section (page 8)
- 6) The following substances may be administered up to <u>72 hours</u> prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines:
  - Dexamethasone (Azlum®)—Oral, IV, IM at 0.05 mg/kg;
  - Detomidine (Dormosedan®) 40 mcg/kg IV-20 mg-IV-dose;
  - Methocarbamol (Robaxin-V) 3-g-PO-BID for 4-days;
  - Lidocaine--subcutaneous at 200 mg total dose;
  - Mepivicaine (Carbocaine®) Subcutaneous at 0.07 mg/kg;
  - Romifidine (Sedivet) 50 mg IV dose; and
  - Tripelennamine HCl (Recover, etc.) 400 mg IM dose + and
  - · Clenbuterol 0.8 mcg/kg-PO-BID for no-more than 7 consecutive days.
- 7) The following substances may be administered up to <u>96 hours</u> prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines:
  - Hydroxyzine (Atarax);
  - · Local Anesthetics (Lidocaine, Mepivicaine);
  - Butorphanol;
  - Pentazocine;
  - Phenytoin (Dilantin); and
  - Pyrilamine ; and
  - Xylazine 500 mg IV-
- 8) The following substances may be administered up to 120 hours prior to the scheduled post-time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines.

#### Acepromazine 30 mg IV-

- 89) The following substances may be administered up to 7 days prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines:
  - Betamethasone—Intra-articular (IA) at 9 mg total dose in a single articular space;
  - Fluphenzine Decanoate (Prolixin®);
  - Methyprednisolone (Depo-Medrol®)—IA at 100 mg total dose in a single articular space; and
  - Reserpine (Serpasil®); and
  - Triamcinolone (Vetalog<sup>2</sup>)--IA at 9 mg total dose in a single articular space.
- 10) Any drug containing Proceine may be administered up to <u>21 days</u> prior to the scheduled post time of the race in which the horse is to compete as long as its use follows the general notice on page 1 of these withdrawal guidelines.
- <u>941</u>) The use of an extra corporeal shock wave therapy or radial pulse wave therapy machine must be done under current KHRC regulations and may be performed until <u>10 days</u> prior to the scheduled post time of the race in which the horse is to compete.
- 10) The following substance may be administered up to 14 days prior to the scheduled post time of the race in which the horse is to compete as long as its use follows the general notice on page 1 of these withdrawal guidelines:
  - Clenbuterol (Ventipulmin™) orally up to 0.8 mcg/kg twice daily
- 1112) The following substances may be administered up to 60 days prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines, and Section 9 of the applicable provisions of 810 KAR 1:018 for thoroughbreds and of 811 KAR 2:096 for quarter horse, appaloosa, and Arabians:
  - · Anabolic Steroids (Limited to Boldenone, Testosterone, and Nandrolone).
- 13) Intra-Articular (IA)/Intra-Thecal-injections:
  - Any-Intra-Articular (IA) or Intra-Thecal injection may be performed until 72 hours prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines.

Formatted: Space After: 0 pt, Line spacing:

December 3, 2013

1244) Any horse that has been treated with therapeutic medications found in sections 6 through 10 of this document may, at the trainer's request and expense, and on permission of the Commission veterinarian, have samples of blood and/or urine collected by the Commission Vyeterinarian for analysis by the Commission authorized laboratory prior to entry to race in the state of Kentucky. As a condition of this elective testing, the trainer will be required to disclose the date and time, dose, and route of administration of the substance for which clearance testing is requested. A report from the commission laboratory of a negative finding in this prerace, elective testing does not provide a safe harbor for the owner, trainer, veterinarian or horse. A report from the commission laboratory of a positive finding in a post-race sample shall be treated as a violation of KHRC regulations even if there was a negative finding by the commission laboratory in the pre-race sample.

## Available Threshold Levels Associated to KHRC

## Withdrawal Guidelines

Acepromazine	Hydroxyethylpromazine sulfoxide 10
Accordingsitte	nanograms per ml in urine
Betamethasone	10 picograms per mi in serum
Boldenone (free-and-conjugated):	10 picograms per mi in serom
Male horses other than geldings	Free and conjugated 15 ng/ml in urine or
, Maic Horses other than Bertings	free 200 pg/ml serum
Fillies, mares, and geldings	1 nanogram per ml in urine
Butorphanol	Free butorphanol 2 nanograms per ml in
<u>Datorphanor</u>	serum or total butorphanol 300 nanograms
	per ml in urine
Clenbuterol	140 25 picograms per ml of urine or limit of
Ciembuteron	detection in serumserum
Dantrolene	5-OH dantrolene 0.1 nanograms per ml of
Dantitolette	
Detamiding	Serum
Detomidine	3-carboxydetomidine 1 nanogram per ml in urine or limit of detection in serum
Dayanathaana	-
Dexamethasone Dialoforno	5 picograms per mi in serum
Diclofenac	5 nanograms per ml inef serum
DMSO	10 micrograms per mi inof serum
Firocoxib	20 nanograms per ng/ml_in serum
Flunixin	20 nanograms per ml inof serum
Furosemide	100 nanograms per ml Inof serum and urine
	specific gravity < 1.010
Glycopyrrolate	3 picograms per ml in serum 1-ng./ml urine
	or-3.5-peg/ml serum
Ketoprofen	10 nanograms per ml of serum
Lidocaine	Total 3-OH-lidocaine, 20 picograms per mi
	<u>In serum</u>
Mepivicaine	OH-mepivicaine 10 nanograms per mi in
	urine or meplylcaine at Limit of Detection in
	serum
Methocarbamol	1 nanogram per ml ng/ml in serum
Methylprednisolone	100 picograms per mi in erum
Nandrolone (free-and-conjugated):	

Geldings and female horses	Free and conjugated, 1 nanogram per ml
,	ng/ml in urine or free, 50 picograms per
•	pg/ml_in_serum
Male horses other than geldings	45 ng/ml of metabolite, 5å-estrane-3β, 17
	ā-diol in urine or a ratio in urine of 5å-
	estrane-3β, 17 å-diol to 5å-estrene-3β, 17 å-
	diol of >1:1
Omeprazole	Omeprazole sulfoxide, 1 nanogram per mi
	in urine
Phenylbutazone	2 mlcrograms per ml lnof serum
Prednisolone	1 nanogram per ml in serum
Procaine penicillin*	25 nanograms per ml in serum
Testosterone-(free-and-conjugated);	**************************************
Geldings	Free and conjugated, 20 nanograms per
	ng/ml in urine or free, 25 picograms per
	g/ml_in_serum
Female horses (unless in foal)	Free and conjugated, 55 nanograms per
	ng/ml in urine or free, 25 picograms per
_	pg/ml serum
Triamcinolone	100 plcograms per ml in serum
Xylazine	0.01 nanograms per ml in serum
Flunixin	
Ketoprofen	——10 nanograms-per-ml-of-serum
Glenbuterol	25-plcograms-per-ml-of-serum
DMSO	——10-micrograms-per-mi-of-scrum
Diciofenac	— 5 nanograms per ml of scrum
Firecoxlb	— 20 ng/ml-serum
Methocarbamol ————————————————————————————————————	<del>— 1 ng/ml-serum</del>
Glycopyrrolate	— 1-ng-/rnl-urine-or-3-5-peg/ml-serum
Boldenone (free and conjugated):	
Male-horses-other-than-geldings	— 15-ng/ml-in-urine-or-200-pg/ml-serum
Nandrolone-(free-and-conjugated)+	
← Geldings-and-female-horses — —	——1-ng/ml-in-urine-or-50-pg/ml-serum
	— 45 ng/ml-of-metabolite, 58-estrane-38, 17
	6-diol-in-urine-or-a-ratio-in-urine-of-56-
	estrane-3β, 17-å-diol to-5å-estrene-3β, 17-å-
	dlol-of≥1+1
Testosterone-(free-and-conjugated):	
Geldings	20 ng/ml-in-urine or 25 pg/ml-serum
Female horses	——55-ng/mHn-urine-or-25-pg/ml-serum

Formatted: Space After: 0 pt, Line spacing:

December 3, 2013

\* Procaine penicillin treatments must be reported to the s§tewards no later than 24 hours after the last injection is administered. Horses so treated will be required to be under KHRC-approved, continuous surveillance for the six hour interval prior to the post time for the race in which the horse is entered. The owner of the horse is responsible for all costs associated with the surveillance. Prospective surveillance arrangements must be submitted to the s§tewards by close of business on the day of entry.

All other NSAID's not listed on the withdrawal guidelines have a threshold set at limit of detection.

Approved by the KHRG on April 16, 2012

- 1 PUBLIC PROTECTION CABINET
- 2 KENTUCKY HORSE RACING COMMISSION
- 3 (Amendment)
- 4 811 KAR 1:093. Drug, medication, and substance classification schedule and withdrawal
- 5 guidelines.

8

- 6 RELATES TO: KRS 230.210, 230.215, 230.240, 230.260, 230.265, 230.290, 230.320
  - 7 STATUTORY AUTHORITY: KRS 230.215, 230.240, 230.260, 230.320
- 9 Racing Commission to promulgate administrative regulations prescribing conditions under 10 which all legitimate horse racing and wagering thereon is conducted in Kentucky. KRS 11 230.240(2) requires the commission to promulgate administrative regulations restricting or

NECESSITY, FUNCTION, AND CONFORMITY: KRS 230.215(2) authorizes the Kentucky Horse

- 12 prohibiting the administration of drugs or stimulants or other improper acts to horses prior to
- 13 the horse participating in a race. This administrative regulation establishes the drug
- 14 classification schedule in effect in Kentucky and the withdrawal guidelines for permitted drugs,
- medications, and substances that may be administered to race horses competing in Kentucky.
- Section 1. The Kentucky Horse Racing Commission Uniform Drug, Medication, and
- 17 Substance Classification Schedule, KHRC 40-01, shall establish the respective classifications of
- 18 all substances contained therein. The Kentucky Horse Racing Commission Withdrawal
- 19 Guidelines Standardbred, KHRC 93-01, shall provide certain mandatory treatment requirements
- 20 and guidance and advice on withdrawal intervals as contained therein.

- Section 2. Incorporation by Reference. (1) The following material is incorporated by reference:
- 3 (a) "Kentucky Horse Racing Commission Uniform Drug, Medication, and Substance
  4 Classification Schedule", KHRC 40-01, <u>December 2013April 2012</u>; and
- (b) "Kentucky Horse Racing Commission Withdrawal Guidelines Standardbred", KHRC 93 01, <u>December 2013April 2012</u>.
- 7 (2) This material may be inspected, copied, or obtained, subject to applicable copyright
  8 law, at the Kentucky Horse Racing Commission, 4063 ironworks Parkway, Building B, Lexington,
  9 Kentucky 40511, Monday through Friday, 8:00 a.m. to 4:30 p.m., or on the commission Web
  10 site at http://khrc.ky.gov.

# Kentucky Horse Racing Commission Withdrawal Guidelines Standardbred

KHRC 93-01 (December 20134/12)



#### **General Notice**

<u>Unless otherwise specified in these withdrawal guidelines or the applicable regulations and statutes, takes the following withdrawal guidelines are voluntary and advisory. The guidelines are recommendations based on current scientific knowledge that <u>maywill</u> change over time. A licensee may present evidence of full compliance with these guidelines to the Kentucky Horse Racing Commission (the "Commission or "KHRC") and the stewards as a mitigating factor to be used in determining violations and penalties.</u>

These withdrawal interval guidelines assume that administration of medications will be performed at doses that are not greater than the manufacturer's maximum recommended dosage. Medications administered at dosages above manufacturer's recommendations, and/or in unusual compounded formulations and/or, in combination with other medications and/or administration inside the withdrawal interval may result in test sample concentrations above threshold concentrations that could lead to positive test results and the imposition of penalties. The time of administration of an orally administered substance, for the purposes of withdrawal interval, shall be considered to be the time of complete ingestion of the medication by the horse via eating or drinking.

In addition to the requirements contained in KRS Chapter 13A, the KHRC shall give notice of an amendment or addition to these withdrawal guidelines by posting the change on the KHRC website and at all Kentucky race tracks at least two weeks before the amendment or addition takes legal effect. Whenever a threshold level or withdrawal guideline contained in 811 KAR 1:090 is amended and whenever a concentration level or withdrawal guideline is added to 811 KAR 1:095, notice of the date that the new concentration level or new withdrawal guideline takes legal effect will be posted on the KHRC website and at all Kentucky race tracks at least two weeks before said date.

#### Withdrawal Guidelines

1) Furosemide shall be administered pursuant to <u>811 KAR 1:090 current KHRC regulations</u> for eligibility and dose for each breed.

- 2) The following substances may be administered or applied up to the scheduled paddock time of the race in which the horse is to compete:
  - Topical applications such as liniments, leg paints, salves, and ointments which may contain antibiotics or DMSO, but do not contain steroids, anesthetics, or any other prohibited substances.
- 3) The following substances may be administered up to 24 hours prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines:
  - Antibiotics (except those containing prohibited drugs such as Procaine);
  - Antiprotozoals (i.e. ponazuril [Marquis<sup>®</sup>] toltrazuril [Βαγcox<sup>®</sup>], SMZ/Daraprim, etc.);
  - Intravenous (IV) or Intramuscular (IM) Electrolytes and Vitamins, and/or other supplements/nutrients not containing drugs;
  - Anti-Ulcer and Gastro-Protective Medications (specifically Omeprazole [Gastrogard®], Cimetidine, Ranitidine, and Sucralfate);
  - Antifungal Agents (specifically Griseofulvin and Ketoconazole);
  - Certain Inhalation Agents (specifically Intal®, and -Mucomystacetylcystiene [Mucomyst®]) that do not exhibit bronchodilator properties;
  - Sodium-lodide (Intravenously);
  - <u>Electrolytes, Vitamins and Minerals (IV, IM or oral)</u>, and/or other oral
     <u>supplements/nutrlents not containing drugs;</u>
  - Hyaluronic Acid (Legend®) IV;
  - Misoprostol;
  - Non-Androgenic Reproductive Hormones (HCG, Regumate, GnRH, etc.);
  - Immunostimulants-(Eqstim, etc.);
  - Polysulfated glycosaminoglycan (Adequan®) Intramuscular-(IM); and
  - <u>Proprionibacterium acnes suspension [Egstim®], or comparable immunostimulants).</u>;
    <u>Intravenous (IV) Hyaluronic Acid (Legend);</u>
    <u>Glycopyrrolate IV 2-mg-IV; and</u>

Misoprostol

- 4) Non steroidal anti-inflammatory drugs (NSAIDS):
  - A) ELECTED NSAID: The applicable regulations require compliance with the following: oOnly one of the following three NSAIDS may be administered up to the manufacturer's maximum labeled dosage until 24 hours prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines and the requirements of 811 KAR 1:090:

- Phenylbutazone (Butazolidin) 2.0mg/lb (lintravenous Only) dose not to exceed 2 grams (Intravenous or Oral);
- Flunixin Meglumine (Banamine) 0.5 mg/lb (Intravenous Only)—dose not to exceed 500 mg (Intravenous Only); and
- Ketoprofen (Ketofen ) 1.0 mg/lb (Intravenous Only)-dose-not-to-exceed-1 gram (Intravenous Only).
- B) The following withdrawal intervals shall be observed for all NSAIDS, except for the one selected in 4A above, for administration prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines:

6	Flunixin Meglumine (Banamine®) 0.5 mg/lb IV	48 hrs
0	Phenylbutazone (Butazolidin®) 2.0 mg/lb IV-or-PO	48 hrs
0	Ketoprofen (Ketofen®) 1.0 mg/lb IV	48 hrs
0	Diclofenac Sodium Topical (Surpass® Cream)	48 hrs
	Single <u>5</u> 4" application	
0	Firocoxib* (Equioxx®) .045 mg/lb	
	Single oral or IV dose	48 hrs
	Repeated daily administration	14 days

- 5) The following substances may be administered up to <u>48 hours</u> prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines:
  - Betamethasone-35-mg-IM;
  - Dexamethasone (Azium SP) 25 mg IV/IM-once-or 10 mg PO-for 5-days;
  - Acepromazine (Promace®) IV at .05 mg/kg;
  - Beta-2 agonists by inhalation (albuterol, terbutaline, salmeterol, fenotorol);
  - <u>Butorphanol (Torbugesic®) IV at 0.1 mg/kg;</u>
    <u>Flumethasone (Flucort) 5-mg-IV;</u>
  - Isoflupredone (Predef-2X) 20 mg IV-or-IM;
  - Corticosteroids by Inhalation (Azmacort®, Beclovent®);
  - Dantrolene (Dantrium<sup>®</sup>) oral at 500 mg total dose;
  - DMSO IV, oral, topical up to 60 ml (Intravenous)-100 ml of a 99% solution;
  - Ergot Alkaloids (Ergonovine, Methergine, etc.);
  - Flumethasone (Flucort®) 5 mg IV;
  - Glycopyrrolate (Robinol<sup>®</sup>) IV, 1 mg total dose;
  - Gualacol Derivatives (Gualfenesin);
  - Ipratropium;
  - Isoflupredone (Predef 2X®) 20 mg IV or IM;

- Isoxsuprine;
- Methocarbamol (Robaxin-V<sup>®</sup>) <u>Single IV or oral dose at 15 mg/kg</u> Intravenous only;
- Detomidine (Dormosedan) 5-mg-IV dose;
- Pentoxyfylline (Trental<sup>®</sup>);
- Prednisolone—oral at 1 mg/kg;
- \*Procaine penicillin IM at 17 mg/kg;
- Beta-2 agonists-by inhalation-(Allbuterol, terbutaline, salmeterol, fenotorol);
   Corticosterolds-by-inhalation-(Azmacort, Beclovent); and
- IpratroplumXylazine--IV.
- \* Mandatory treatment reporting and race day surveillance as described in Threshold section (page 8)
- 6) The following substances may be administered up to <u>72 hours</u> prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines:
  - Dexamethasone (Azium®)—Oral, IV, IM at 0.05 mg/kg;
  - Detomidine (Dormosedan®) 40 mcg/kg IV-20-mg-IV-dose;
  - Methocarbamol-(Robaxin-V) 3 g PO BID for 4 days;
  - Lidocalne--subcutaneous at 200 mg total dose;
  - Mepivicaine (Carbocaine®) Subcutaneous at 0.07 mg/kg;
  - Romifidine (Sedivet) 50 mg IV dose; and
  - Tripelennamine HCI (Recover, etc.) 400 mg IM dose.; and
  - Clenbuterol 0.8 mcg/kg PO BID for no more than 7 consecutive days.
- 7) The following substances may be administered up to <u>96 hours</u> prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines:
  - Hydroxyzine (Atarax);
  - Local Anesthetics (Lidocaine, Mepivicaine);
  - Butorphanol;
  - Pentazocine;
  - Phenytoin (Dilantin); and
  - Pyrilamine.; and
  - Xylazine 500 mg IV.
- 8) The following substances may be administered up to <u>120 hours</u> prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines.

- Acepromazine-30 mg IV.
- 89) The following substances may be administered up to 7 days prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines:
  - Betamethasone—Intra-articular (IA) at 9 mg total dose in a single articular space;
  - Fluphenzine Decanoate (Prolixin®);-and
  - Methyprednisolone (Depo-Medrol®)—IA at 100 mg total dose in a single articular space;
  - Reserpine (Serpasil®); and-
  - Triamcinolone (Vetalog®)—IA at 9 mg total dose in a single articular space.
- 10) Any drug containing Procaine-may be administered up to <u>21 days</u> prior to the scheduled post-time of the race in which the horse is to compete as long as its use follows the general notice on page 1 of these withdrawal guidelines.
- 911) The use of an extra corporeal shock wave therapy or radial pulse wave therapy machine must be done under current KHRC regulations and may be performed until 10 days prior to the scheduled post time of the race in which the horse is to compete.
- 10) The following substance may be administered up to 14 days prior to the scheduled post time of the race in which the horse is to compete as long as its use follows the general notice on page 1 of these withdrawal guidelines:
  - Clenbuterol (Ventipulmin™) orally up to 0.8 mcg/kg twice daily
- 1112) The following substances may be administered up to 60 days prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal guidelines, and the applicable provisions Section 9 of 811 KAR 1:090:
  - Anabolic Steroids (Limited to Boldenone, Testosterone, and Nandrolone).
- 13) Intra-Articular (IA)/Intra-Thecal-Injections:
  - Any Intra-Articular (IA) or Intra-Thecal injection may be performed until 72 hours prior to the scheduled post time of the race in which the horse is to compete as long as their use follows the general notice on page 1 of these withdrawal-guidelines.

1214) Any horse that has been treated with therapeutic medications found in sections 6 through 10 of this document may, at the trainer's request and expense, and on permission of the Commission veterinarian, have samples of blood and/or urine collected by the Commission veterinarian for analysis by the Commission authorized laboratory prior to entry to race in the state of Kentucky. As a condition of this elective testing, the trainer will be required to disclose the date and time, dose, and route of administration of the substance for which clearance testing is requested. A report from the commission laboratory of a negative finding in this prerace, elective testing does not provide a safe harbor for the owner, trainer, veterinarian or horse. A report from the commission laboratory of a positive finding in a post-race sample shall be treated as a violation of KHRC regulations even if there was a negative finding by the commission laboratory in the pre-race sample.

## Available Threshold Levels Associated to KHRC Withdrawal Guidelines

Acepromazine	Hydroxyethylpromazine sulfoxide 10
	nanograms per ml in urine
Betamethasone	10 picograms per mi in serum
Boldenone (free and conjugated):	
Male horses other than geldings	Free and conjugated 15 ng/ml in urine or
	free 200 pg/ml serum
Fillies, mares, and geldings	1 nanogram per ml in urine
Butorphanol	Free butorphanol 2 nanograms per ml in
	serum or total butorphanol 300 nanograms
	<u>per ml in urine</u>
Clenbuterol	140 25 picograms per ml of urine or limit of
	detection in serumserum
<u>Dantrolene</u>	5-OH dantrolene 0.1 nanograms per ml of
	<u>serum</u>
Detomidine	3-carboxydetomidine 1 nanogram per ml in
	urine or limit of detection in serum
<u>Dexamethasone</u>	5 picograms per ml in serum
Diclofenac	5 nanograms per ml inøf serum
DMSO	10 micrograms per ml inof serum
ı	
Firocoxib	20 nanograms per ng/ml_in serum
Flunixin	20 nanograms per ml inof serum
Lewis	400 man a manual manual tradications and contrar
Furosemide	100 nanograms per ml inof serum and urine
at	specific gravity < 1,010
Glycopyrrolate	3 picograms per ml in serum 1-ng./ml-urine
Note that the second second	or 3.5 peg/ml serum
<u>Ketoprofen</u>	10 nanograms per ml of serum
Lidocaine	Total 3-OH-lidocaine, 20 picograms per ml
	<u>In serum</u>
<u>Mepivicaine</u>	OH-mepivicaine 10 nanograms per ml in
	urine or meplyicaine at Limit of Detection in
	<u>serum</u>
<u>Methocarbamol</u>	1 nanogram per ml ng/ml in serum
Methylprednisolone	100 picograms per ml in erum
Nandrolone (free and conjugated):	
Geldings and female horses	Free and conjugated, 1 nanogram per ml
	natural la urino or fran EO nicograme nor
	ng/ml in urine or free, 50 picograms per

Male horses other than geldings  45 ng/ml of metabolite, 5å-estrane-3β, 17 å-diol in urine or a ratio in urine of 5å- estrane-3β, 17 å-diol to 5å-estrene-3β, 17 å- diol of >1:1  Omeprazole  Omeprazole sulfoxide, 1 nanogram per ml in urine  Phenylbutazone  Prednisolone  Procaine penicillin*  Testosterone-(free-and-conjugated): Geldings  Free and conjugated, 20 nanograms per ng/ml in urine or free, 25 plcograms per
estrane-3β, 17 å-diol to 5å-estrene-3β, 17 å- diol of >1:1  Omeprazole  Omeprazole sulfoxide, 1 nanogram per ml in urine  Phenylbutazone  Prednisolone  Procaine penicillin*  Testosterone-(free-and-conjugated):  Geldings  Geldings  Geldings  Free and conjugated, 20 nanograms per ng/ml in urine or free, 25 picograms per
Omeprazole  Omeprazole sulfoxide, 1 nanogram per ml in urine  Phenylbutazone  Prednisolone  Procaine penicillin*  Testosterone (free and conjugated):  Geldings  Geldings  Geldings  Giol of >1:1  Omeprazole sulfoxide, 1 nanogram per ml in urine  1 nanograms per ml in serum 25 nanograms per ml in serum  Free and conjugated, 20 nanograms per mg/ml in urine or free, 25 picograms per
Omeprazole  Omeprazole sulfoxide, 1 nanogram per ml in urine  Phenylbutazone  Prednisolone  Procaine penicillin*  Testosterone-(free and conjugated):  Geldings  Geldings  Geldings  Omeprazole sulfoxide, 1 nanogram per ml inof serum  1 nanogram per ml in serum  25 nanograms per ml in serum  Free and conjugated, 20 nanograms per ng/ml in urine or free, 25 plcograms per
Phenylbutazone       in urine         Prednisolone       25 micrograms per ml in serum         Procaine penicillin*       25 nanograms per ml in serum         Testosterone-(free-and-conjugated):       Free and conjugated, 20 nanograms per ng/ml in urine or free, 25 picograms per
Phenylbutazone Prednisolone 1 nanogram per ml in serum Procaine penicillin* 25 nanograms per ml in serum  Testosterone-(free-and-conjugated): Geldings Free and conjugated, 20 nanograms per ng/ml in urine or free, 25 picograms per
Procaine penicillin*  Testosterone (free and conjugated):  Geldings  Free and conjugated, 20 nanograms per ng/ml in urine or free, 25 picograms per
Testosterone-(free and conjugated):  Geldings  Free and conjugated, 20 nanograms per  ng/ml in urine or free, 25 picograms per
Geldings Free and conjugated, 20 nanograms per  ng/ml in urine or free, 25 picograms per
<u>ng</u> /ml in urine or free, 25 picograms per
ng/ml In urine or free, 25 picograms per
<del>g/</del> ml_in_serum
Free and conjugated, 55 nanograms per
ng/ml in urine or free, 25 picograms per
<del>pg/</del> ml serum
<u>Triamcinolone</u> 100 picograms per ml in serum
Xylazine 0.01 nanograms per ml in serum
Flunixin 20-nanograms-per-ml-of-serum
Ketoprofen 10-nanograms-per-ml-of-serum
Glenbuterol 25-picograms-per-ml-of-serum
DMSO 10-micrograms-per-mi-of-serum
Diclofenac 5-nanograms-per-mil-of-serum
F-irocoxib————————————————————————————————————
Methocarbamol 1-ng/ml-serum
Glycopyrrolate 1-ng./ml-urine-or-3.5-pcg/ml-serum
Boldenone-(free-and-conjugated):
Nandrolone-(free-and-conjugated):
— Geldings-and-female-horses — 1-ng/ml-in-urine-or-50-pg/ml-serum
Male-horses-other-than-geldings45-ng/ml-of-metabolite, 5å-estrane-3β, 17
å-dlol-in-urine-or-a-ratio-in-urine-of-5å-
estrane-36,-17-å-diol-to-5å-estrene-36,-17-å-
diol-of-21+1
Testosterone (free-and-conjugated)
Geldings 20-ng/ml-in-urine-or-25-pg/ml-serum
Female-horses 55-ng/ml-in-urine-or-25-pg/ml-serum

<sup>\*</sup> Procaine penicillin treatments must be reported to the Stewards no later than 24 hours after the last injection is administered. Horses so treated will be required to be under KHRC-approved, continuous surveillance for the six hour interval prior to the post time for the race in which the horse is entered. The owner of the horse is responsible

for all costs associated with the surveillance. Prospective surveillance arrangements must be submitted to the Stewards by close of business on the day of entry.

All other NSAID's not listed on the withdrawal guidelines have a threshold set at limit of detection.

Approved by the KHRC on April 16, 2012

#### Draft 11-26-13

- 1 PUBLIC PROTECTION CABINET
- 2 KENTUCKY HORSE RACING COMMISSION
- 3 (Amendment)
- 4 811 KAR 1:090. Medication; testing procedures; prohibited practices.
- 5 RELATES TO: KRS 230.215, 230.240, 230.260, 230.265, 230.290, 230.310, 230.320
- 6 STATUTORY AUTHORITY: KRS 230.215, 230.240, 230.260, 230.320
- 7 NECESSITY, FUNCTION, AND CONFORMITY: KRS 230.215(2), 230.260(3), and 230.320
- 8 authorize the commission to promulgate administrative regulations prescribing the conditions
- 9 under which horse racing shall be conducted in Kentucky. KRS 230.240(2) requires the
- 10 commission to promulgate administrative regulations restricting or prohibiting the
- administration of drugs or stimulants or other improper acts to horses prior to the horse
- 12 participating in a race. This administrative regulation establishes requirements and controls in
- 13 the administration of drugs, medications, and substances to horses, governs certain prohibited
- practices, and establishes trainer responsibility relating to the health and fitness of horses.
- 15 Section 1, Definitions. (1) "AAS" or "anabolic steroid" means an anabolic androgenic
- 16 steroid.
- 17 (2) "Administer" means to apply to or cause the introduction of a substance into the body
- 18 of a horse.
- 19 (3) "Commission laboratory" means a laboratory chosen by the commission to test
- 20 biologic specimens from a horse taken under the supervision of the commission veterinarian.

3

4

5

9

10

11

1	(4) "Location under the jurisdiction of the commission" means a licensed race track or a
2	training center as described in KRS 220 260(5)

- (5) "Permitted NSAIDs" means the following permitted non-steroidal anti-inflammatory drugs: phenylbutazone, flunixin, and ketoprofen, if administered in compliance with Section 8 of this administrative regulation.
- 6 (6) "Positive finding" means the commission laboratory has conducted testing and
  7 determined that a drug, medication, or substance, the use of which is restricted or prohibited
  8 by this administrative regulation, was present in the sample.
  - (a) For the drugs, medications or substances listed in Section 2(3), 6, or 8 of this administrative regulation, a positive finding means a finding in excess of the established concentration level prescribed in those sections.
    - (b) Positive findings also include:
- 13 1. Substances present in the horse in excess of concentrations at which the substances
  14 might occur naturally; and
- 2. Substances foreign to a horse at concentrations that cause interference with testingprocedures.
- 17 (7) "Primary sample" means the primary sample portion of the biologic specimen taken
  18 under the supervision of the commission veterinarian to be tested by the commission
  19 laboratory.
- 20 (8) "Split sample" means the split sample portion of the biologic specimen taken under 21 the supervision of the commission veterinarian to be tested by the split sample laboratory.

4

5

6

8

9

10

11

12

13

1	(9) "Split sample laboratory" means the laboratory approved by the commission to test
2	the split sample portion of the biologic specimen taken from a horse under the supervision of
3	the commission veterinarian.

- (10) "Test barn" means a fenced enclosure sufficient in size and facilities to accommodate the stabling of horses temporarily detained for obtaining specimens for pre-race and post-race testing.
- 7 (11) "Therapeutic AAS" means boldenone, nandrolone, or testosterone.
  - Section 2. Use of Medication. (1) Therapeutic measures and medication necessary to improve or protect the health of a horse shall be administered to a horse in training under the direction of a licensed veterinarian.
  - (2) Except as specifically permitted in Sections 4, 5, 6, and 8 of this administrative regulation, while participating in a race (betting or nonbetting), qualifying race, time trial, or official workout, a horse shall not carry in its body any drug, medication, substance, or metabolic derivative, that:
- 15 (a) Is a narcotic;
- 16 (b) Could serve as an anesthetic or tranquilizer;
- 17 (c) Could stimulate, depress, or affect the circulatory, respiratory, cardiovascular,
  18 musculoskeletal, or central nervous system of a horse; or
- (d) Might mask or screen the presence of a prohibited drug, or prevent or delay testingprocedures.
- 21 (3) Therapeutic medications shall not be present in excess of established threshold 22 concentrations set forth in this administrative regulation. The threshold for furosemide is set

- forth in Section 6 of this administrative regulation. The thresholds for permitted NSAIDS are set forth in Section 8 of this administrative regulation.
  - (4) A substance shall not be present in a horse in excess of a concentration at which the substance could occur naturally. It shall be the responsibility of the commission to prove that the substance was in excess of normal concentration levels.
  - (5) It shall be prima facie evidence that a horse was administered and carried, while running in a race (betting or nonbetting), qualifying race, time trial, or official workout, a drug, medication, substance, or metabolic derivative thereof, prohibited by this section, if:
  - (a) A biologic specimen from the horse was taken under the supervision of the commission veterinarian promptly after a horse ran in a race (betting or nonbetting), qualifying race, time trial, or official workout; and
    - (b) The commission laboratory presents to the commission a report of a positive finding.
  - (6) The commission shall utilize the Kentucky Horse Racing Commission Uniform Drug, Medication, and Substance Classification Schedule, as provided in 811 KAR 1:093, for classification of drugs, medications, and substances violating this administrative regulation. Penalties for violations of this administrative regulation shall be implemented in accordance with 811 KAR 1:095.
  - Section 3. Treatment Restrictions. (1) Except as set forth in Section 4 of this administrative regulation, or the oral administration of phenylbutazone as set forth in Section 8 of this administrative regulation, a person other than a veterinarian licensed to practice veterinary medicine in Kentucky and licensed by the commission shall not administer a prescription or

- controlled drug, medication, or other substance to a horse at a location under the jurisdiction of the commission.
  - (2) The only injectables allowed within twenty-four (24) hours prior to post time of the race in which the horse is entered shall be furosemide, as set forth in Section 6 of this administrative regulation.
  - (3) Except as set forth in subsection (5) of this section, a person other than a veterinarian licensed to practice veterinary medicine in Kentucky and licensed by the commission shall not possess a hypodermic needle, syringe, or injectable of any kind at a location under the jurisdiction of the commission.
  - (4) A veterinarian licensed to practice veterinary medicine in Kentucky and licensed by the commission shall use only single-use disposable needles and syringes, and shall dispose of them in a container approved by the commission veterinarian.
  - (5) If a person regulated by the commission, has a medical condition that makes it necessary to possess a needle and syringe at a location under the jurisdiction of the commission, the person shall request prior permission from the judges and furnish a letter from a licensed physician explaining why it is necessary for the person to possess a needle and syringe. The judges may grant approval for a person to possess and use a needle and syringe at a location under the jurisdiction of the commission, but may establish necessary restrictions and limitations.
  - (6) A commission employee may accompany a veterinarian at a location under the jurisdiction of the commission and take possession of a syringe, needle, or other device used to administer a substance to a horse.

20

21

22

nonbetting), time trial, or official workout.

1	Section 4. Certain Permitted Substances. Liniments, antiseptics, antibiotics, ointments, leg
2	paints, washes, and other products commonly used in the daily care of horses may be
3	administered by a person other than a licensed veterinarian if:
4	(1) The treatment does not include any drug, medication, or substance otherwise
5	prohibited by this administrative regulation;
6	(2) The treatment is not injected; and
7	(3) The person is acting under the direction of a licensed trainer or veterinarian licensed to
8	practice veterinary medicine in Kentucky and licensed by the commission.
9	Section 5. Anti-Ulcer Medications. The following anti-ulcer medications may be
10	administered orally, at the dosage stated in this section, up to twenty-four (24) hours prior to
11	post time of the race in which the horse is entered:
12	(1) Cimetidine (Tagamet <u>®</u> è): 8-20 mg/kg;
13	(2) Omeprazole (Gastrogard 🏵): two and two-tenths (2.2) grams;
14	(3) Ranitidine (Zantac®Ò): eight (8) mg/kg; and
15	(4) Sulcrafate: 2-4 grams,
16	Section 6. Furosemide Use on Race Day. (1) Furosemide may be administered, in
17	accordance with this section, to a horse that is entered to compete in a race (betting or
18	nonbetting), qualifying race, time trial, or official workout.
19	(2)(a) The commission veterinarian shall administer furosemide prior to a race (betting or

(b) If the commission veterinarian is unavailable to administer furosemide to a horse prior

to a race, the commission shall approve a licensed veterinarian to perform the administration.

- 1 The approved licensed veterinarian shall agree to comply with all of the applicable 2 administrative regulations regarding the administration of furosemide on race day.
  - (c) If the furosemide is administered by an approved licensed veterinarian, the administering veterinarian shall provide a written report to the commission veterinarian no later than two (2) hours prior to post time of the race in which the horse receiving furosemide is competing.
    - (3) Furosemide may be used under the following circumstances:
  - (a) Furosemide shall be administered on the grounds of the racing association at which the horse will compete or work;
  - (b) Except for qualifying races, furosemide shall be administered by a single intravenous injection, not less than four (4) hours prior to post time for the race, time trial, or official workout in which the horse is entered;
  - (c) The furosemide dosage administered shall not exceed be less than 1500 mg, nor be less than and shall not exceed 2.150 mg;
  - (d) The specific gravity of a post-race urine sample shall not be below 1.010. If the specific gravity of the post-race urine sample is determined to be below 1.010, a quantification of furosemide in blood serum or plasma shall be performed. If a horse falls to produce a urine specimen, the commission laboratory shall perform a quantification of furosemide in the blood serum or plasma specimen. Concentrations above 100 nanograms of furosemide per milliliter of blood serum or plasma shall constitute a violation of this section; and
  - (4) The initial cost of administering the furosemide shall be twenty (20) dollars per administration. The commission shall monitor the costs associated with administering

- 1 furosemide and consult with industry representatives to determine if the cost should be
- 2 lowered based on prevailing veterinarian services and supplies. The commission shall maintain
- 3 records documenting the basis for its determination, and if the cost is determined to be less
- 4 than twenty (20) dollars per administration, then the commission shall lower the cost
- 5 accordingly. The cost shall be prominently posted in the racing office.
- 6 Section 7. Furosemide Eligibility. (1)(a) A horse shall be eligible to qualify with furosemide
- 7 If the licensed trainer or a licensed veterinarian determines that it would be in the horse's best
- 8 Interest to race with furosemide. Notice that a horse eligible to receive furosemide will race
- 9 with or without furosemide shall be made at the time of entry to ensure public notice, including
- 10 publication in the official racing program.
- 11 (b) It shall constitute a violation of this administrative regulation if notice is made
- pursuant to this section that a horse will race with furosemide, and the post-race urine, blood
- serum, or plasma does not show a detectable concentration of furosemide in the post-race
- 14 urine, blood serum, or plasma.
- 15 (c) Horses eligible for furosemide and entered to start may be monitored by a
- 16 commission-approved representative during the four (4) hour period prior to post time of the
- 17 race in which the horse is entered.
- 18 (2) After a horse has been determined to no longer be required to receive furosemide, the
- 19 horse shall not be eligible to receive furosemide unless the licensed trainer or a licensed
- 20 veterinarian determines that it would be in the horse's best interests to race with furosemide
- 21 and the licensed trainer or a licensed veterinarian complies with the requirements of this
- 22 section.

22

section.

Section 8. Permitted Non-steroidal Anti-Inflammatory Drugs (NSAIDs). (1) One (1) of the					
NSAIDs listed in this section may be used not less than twenty-four (24) hours prior to post time					
for the race for which the horse is entered if the concentration in the horse's specimen does					
not exceed the levels set forth in this section when tested post-race.					
(2) Phenylbutazone.					
(a) A single oral or intravenous administration of phenylbutazone may be administered					
not less than twenty-four (24) hours prior to post time of the race for which the horse is					
entered.					
(b) The phenylbutazone dosage administered shall not exceed:					
1 <del>. Two (2) mg/lb oral; or</del>					
2. Two (2) mg/lb <del>Intravenous.</del>					
(c) A post-race biologic specimen of phenylbutazone reported to exceed a level of <u>two (2)</u>					
five (5) micrograms per milliliter of blood serum or plasma shall be considered a violation of this					
section.					
_(d) The oral administration of phenylbutazone may be performed by the trainer.					
(3) Flunixin.					
(a) A single intravenous administration of flunixin may be administered not less than					
twenty-four (24) hours prior to post time of the race for which the horse is entered.					
(b) The flunixin dosage administered shall not exceed5 mg/lb.					
(c) A post-race biologic specimen of flunixin reported to exceed a level of twenty (20)					
nanograms per milliliter of blood serum or plasma shall be considered a violation of this					

19

20

21

1	(4) Ketoprofen.
2	(a) A single intravenous administration of ketoprofen may be administered not less than
3	twenty-four (24) hours prior to post time of the race for which the horse is entered.
4	(b) The ketoprofen dosage administered shall not exceed 1 mg/lb.
5	(c) A post-race sample of ketoprofen reported to exceed a level of ten (10) nanograms per
6	milliliter of blood serum or plasma shall be considered a violation of this section.
7	(5) Phenylbutazone, flunixin or ketoprofen, injected intravenously, shall be administered
- 8	by a licensed veterinarian approved by the commission.
9	(6)(a) The use of any NSAID other than the permitted NSAIDs, and the use of multiple
10	permitted NSAIDs shall be discontinued at least forty-eight (48) hours prior to post time for the
11	race in which the horse is entered.
12	(b) A finding of phenylbutazone below a concentration of one half (.5) one (1)-microgram
13	per milliliter of blood serum or plasma shall not constitute a violation of this section.
14	(c) A finding of flunixin below a concentration of three (3) nanograms per milliliter of
15	blood serum or plasma shall not constitute a violation of this section.
16	(7) A horse that has been administered phenylbutazone, flunixin, or ketoprofen shall be
17	subject to having a biologic specimen collected under the supervision of the commission
18	veterinarian to determine the quantitative phenylbutazone, flunixin, or ketoprofen level

Section 9. Anabolic Steroids. (1) An exogenous AAS shall not be present in a horse that is racing. The detection of an exogenous AAS or metabolic derivative in a post-race or a pre-race

present in the horse or the presence of other drugs in the horse.

3

4

5

6

- sample after the horse has been entered shall constitute a violation of this administrative regulation.
  - (2) The detection in a post-race sample of an endogenous AAS or metabolic derivative where the concentration of the AAS, a metabolite, a marker, or any relevant ratio as has been published in peer-reviewed scientific literature deviates from a naturally occurring physiological level shall constitute a violation of this administrative regulation. The following shall be deemed to be naturally occurring physiological levels:
- 8 (a) Boldenone (free and conjugated):
- 9 1. In male horses other than geldings 15 ng/ml in urine or 200 pg/ml in blood serum or 10 plasma; and
- 2. In geldings and female horses, boldenone shall not be permitted.
- 12 (b) Nandrolone (free and conjugated):
- 13 1. In geldings 1 ng/ml in urine or 50 pg/ml in blood serum or plasma;
- 2. In fillies and mares 1 ng/ml in urine or 50 pg/ml in blood serum or plasma; and
- 3. In male horses other than geldings 45 ng/ml of metabolite, 5α-estrane-3β, 17α-diol in
   urine or a ratio in urine of 5α-estrane-3β, 17α-diol to 5α-estrene-3β, 17α-diol of >1:1.
- 17 (c) Testosterone (free and conjugated):
- 18 1. In geldings 20 ng/ml in urine or 25 pg/ml in blood serum or plasma; and
- 2. In fillies and mares 55 ng/ml in urine or 25 pg/ml in blood serum or plasma.
- 20 (3) In accordance with this subsection, a horse may receive one (1) therapeutic AAS.
- 21 (a) The therapeutic AAS shall be given for the sole purpose of treating an existing illness or 22 Injury having been diagnosed by the regular attending veterinarian. An owner or trainer who is

- 1 uncertain about whether a particular purpose is considered to be therapeutic shall consult with
- 2 the commission prior to administration.
- 3 (b) The horse shall be ineligible to race in Kentucky until all of the following have
- 4 occurred:
- 5 1. A minimum of sixty (60) days has passed since the administration of the therapeutic
- 6 AAS to the horse;
- 7 2. A relevant specimen is taken from the horse;
- 8 3. The sample is tested for AAS by a laboratory from the approved list established by the
- 9 commission at the expense of the owner of the horse; and
- 4. The commission has received a report from the laboratory of a negative finding
- 11 regarding the sample.
- 12 (c) A report from the commission laboratory of a negative finding in a pre-race-sample
- does not provide a safe harbor for the owner, trainer, veterinarian or horse. A report from the
- 14 commission laboratory of a positive finding in a post-race sample shall be treated as a violation
- of this administrative regulation even if there was a negative finding by the commission
- 16 laboratory in a pre-race sample.
- 17 (d) The horse shall not be entered to race until at least sixty (60) days after the
- administration of the therapeutic AAS to the horse.
  - (e) Procedures for administration of therapeutic AAS.
- 20 1. A therapeutic AAS shall be administered by a licensed veterinarian.
- 21 2. Other treatment methods shall be investigated prior to considering the use of
- 22 therapeutic AAS.

2

14

15

16

17

18

19

20

21

1	3 Medical	records	for the	horse shall	document:
<u>L</u>	3. Medical	records	ioi tile	HUISE SHAII	uocument.

- a. Consideration of alternative treatment methods; and
- b. The necessity for administering the therapeutic AAS.
- 4. The administering veterinarian shall record on the Therapeutic AAS Administration
- 5 Form the following information:
- a. The therapeutic AAS administered, the amount in milligrams, route, and site of administration;
- 8 b. The date and time of administration;
- 9 c. The name, age, sex, color, and registration certificate number of the horse to which the 10 therapeutic AAS is administered; and
- d. The diagnosis and justification for administration of the therapeutic AAS to the horse.
- 5. The Therapeutic AAS Administration Form shall be signed by the veterinarian administering the medication.
  - 6. The Therapeutic AAS Administration Form shall be delivered electronically to the commission equine medical director within seventy-two (72) hours after administration. If the Therapeutic AAS Administrative Form cannot be delivered electronically, the veterinarian shall file the form with the equine medical director in person or through the mail. The submitting veterinarian shall confirm receipt by the equine medical director.
  - (4) Substances referred to in subsections (1) and (2) of this section are "Class B" drugs. A positive test for an exogenous AAS or for an amount of an endogenous AAS in excess of a concentration referred to in subsection (2) of this section shall be subject to the penalties referred to in 811 KAR 1:095.

7

8

9

10

11

12

13

14

15

16

1	(5)(a) The detection of a therapeutic AAS or metabolic derivative in any sample in excess
2	of a threshold level set forth in subsection (2) of this section shall constitute a violation

- (b) Each separate therapeutic AAS detected in excess of a threshold level shall constitute a
   separate violation.
- 5 (6) The trainer and veterinarian for the horse shall be charged accordingly and shall be subject to penalties for a violation of this administrative regulation.
  - (7)(a) A claimed horse may be tested for the presence of an AAS if the claimant requests the test when the claim form is completed and deposited in the association's claim box. The claimant shall bear the costs of the test. The results of the test shall be reported to the presiding judge.
  - (b) If a test is positive, the claim may be voided at the option of the claimant and the claimant shall be entitled to return of all sums paid for the claimed horse, expenses incurred after the date of the claim, and the costs of testing.
  - (c) If the test is negative, the claimant shall reimburse the entity paying for the testing or the prior owner for the cost of the testing.
    - (d) While awaiting test results, a claimant:
- 17 1. Shall exercise due care in maintaining and boarding a claimed horse; and
- 18 2. Shall not materially after a claimed horse.
- (8) The gender of the horse from which a post-race biologic specimen is collected shall be
   identified to the commission veterinarian and the testing laboratory.
  - (9) Only a licensed veterinarian may possess or administer a therapeutic AAS.

4

5

11

12

1	Section 10. Test Barn. (1) During a licensed meet, a licensed association shall provide and
2	maintain a test barn on association grounds.
3	(2) The test barn shall be a fenced enclosure sufficient in size and facilities to

- accommodate the stabling of horses temporarily detained for the taking of biologic specimens for pre-race and post-race testing.
- 6 (3) The test barn shall be under the supervision and control of the commission veterinarian.
- Section 11. Sample Collection, Testing and Reporting. (1) Sample collection shall be done
  in accordance with the procedures provided in 811 KAR 1:260 and under the instructions
  provided by the commission veterinarian.
  - (2) The commission veterinarian shall determine a minimum sample requirement for the commission laboratory which shall be uniform for each horse and which shall be separated into primary and split samples.
- 14 (3) An owner or trainer may request that a split sample be:
- 15 (a) Taken from a horse he owns or trains by the commission veterinarian; and
- 16 (b) Tested by the split sample laboratory.
- 17 (4) The cost of testing under subsection (3) of this section, including shipping, shall be 18 borne by the owner or trainer requesting the test.
- 19 (5)(a) Stable equipment other than that necessary for washing and cooling out a horse 20 shall not be permitted in the test barn.
- 21 (b) Buckets and water shall be furnished by the commission veterinarian.
- 22 (c) If a body brace is to be used on a horse, it shall:

1	1	R۵	sunn	hail	hy	the	trainer:	and
L	4.	DE	วนมม	meu	IJΥ	uie	uamer.	anu

- 2. Applied only with the permission and in the presence of the commission veterinarian or his designee.
  - (d) A licensed veterinarian may attend to a horse in the test barn only with the permission of, and in the presence of, the commission veterinarian or his designee.
  - (6) Within five (5) business days of receipt of notification by the commission laboratory of a positive finding, the commission shall notify the owner and trainer orally or in writing of the positive finding.
  - (7) The judges shall schedule a hearing within fourteen (14) calendar days of notification by the commission to the owner and trainer. The hearing may be continued if the judges determine that a continuance is necessary to effectively resolve the issue.
  - Section 12. Storage and Shipment of Split Samples. (1) Split samples shall be secured and made available for further testing in accordance with the following procedures:
  - (a) Split samples shall be secured in the test barn in the same manner as the primary samples for shipment to the commission laboratory as addressed in Section 11 of this administrative regulation, until the primary samples are packed and secured for shipment to the commission laboratory. Split samples shall then be transferred to a freezer or refrigerator at a secure location approved and chosen by the commission;
  - (b) A freezer or refrigerator for storage of split samples shall be equipped with a lock. The lock shall be secured to prevent access to the freezer or refrigerator at all times except as specifically provided by paragraph (c) of this subsection;

3

4

5

6

7

8

9

10

11

12

13

14

15

16

17

18

19

20

21

1	(c) A freezer or refrigerator for storage of split samples shall be opened only for depositing
2	or removing split samples, for inventory, or for checking the condition of samples;

- (d) A log shall be maintained by the commission veterinarian that shall be used each time a split sample freezer or refrigerator is opened to specify each person in attendance, the purpose for opening the freezer or refrigerator, identification of split samples deposited or removed, the date and time the freezer or refrigerator was opened, the time the freezer or refrigerator was closed and verification that the lock was secured prior to and after opening of the freezer or refrigerator. A commission veterinarian or his designee shall be present when the freezer or refrigerator is opened;
- (e) Evidence of a malfunction of a split sample freezer or refrigerator shall be documented in the log; and
  - (f) The commission shall be considered the owner of a split sample.
- (2)(a) A trainer or owner of a horse receiving notice of a positive finding may request that a split sample corresponding to the portion of the sample tested by the commission laboratory be sent to the split sample laboratory. The party requesting the split sample shall select from a list of laboratories approved by the commission to perform the analysis.
- (b) The request shall be made in writing and delivered to the judges within three (3) business days after the trainer or owner of the horse receives oral or written notice of the positive finding by the commission laboratory.
  - (c) A split sample so requested shall be shipped as expeditiously as possible.
- (3)(a) The owner or trainer requesting testing of a split sample shall be responsible for the cost of the testing, including the cost of shipping.

20

21

22

1	(b) Failure of the owner, trainer or a designee to appear at the time and place designated
2	by the commission veterinarian in connection with securing, maintaining and shipping the split
3	sample shall constitute a waiver of any right to be present during split sample testing
4	procedures.
5	(c) Prior to shipment of the split sample, the commission shall confirm:
6	1. That the split sample laboratory has agreed to provide the testing requested;
7	2. That the split sample laboratory has agreed to send results to the commission; and
8	3. That arrangements for payment satisfactory to the split sample laboratory have been
9	made.
10	(d) The commission shall maintain a list of laboratories approved for the testing of split
11	samples and the list shall be on file at the offices of the commission.
12	Section 13. Split Sample Chain of Custody. (1) Prior to opening the split sample freezer or
13	refrigerator, the commission shall provide a split sample chain of custody verification form. The
14	form to be used shall be the Split Sample Chain of Custody Form. The form shall be fully
15	completed during the retrieval, packaging, and shipment of the split sample and shall contain
16	the following information:
17	(a) The date and time the sample is removed from the split sample freezer or refrigerator;
18	(b) The sample number; and
19	(c) The address where the split sample is to be sent.

commission employee after notice to the owner, trainer, or designee, and a commission-

designated representative shall pack the split sample for shipment in accordance with the

(2) A split sample shall be removed from the split sample freezer or refrigerator by a

- 1 packaging procedures directed by the commission. The Split Sample Chain of Custody Form
- 2 shall be signed by both the owner's representative, if present, and the commission
- 3 representative to confirm the proper packaging of the split sample for shipment. The exterior of
- 4 the package shall be secured and sealed to prevent tampering with the package.
- 5 (3) The owner, trainer or designee, if present, may inspect the package containing the
- 6 split sample immediately prior to transfer to the delivery carrier to verify that the package is
- 7 intact and has not been tampered with.
- 8 (4) The Split Sample Chain of Custody Form shall be completed and signed by the
- 9 representative of the commission and the owner, trainer or designee, if present.
- 10 (5) The commission representative shall retain the original Split Sample Chain of Custody
- 11 Form and provide a copy for the owner, trainer, or designee, if requested.
- 12 Section 14. Medical Labeling. (1) A licensee on association grounds shall not have within
- 13 his or her possession, or within his or her personal control, a drug, medication, or other
- 14 substance that is prohibited from being administered to a horse on a race day unless the
- 15 product is properly and accurately labeled.
- 16 (2) A drug or medication which, by federal or state law, requires a prescription shall not
- be used or kept on association grounds unless validly prescribed by a duly licensed veterinarian.
- 18 (3) A drug or medication shall bear a prescription label which is securely attached and
- 19 clearly ascribed to show the following:
- 20 (a) The name of the product;
- 21 (b) The name, address and telephone number of the veterinarian prescribing or
- 22 dispensing the product;

# <u>Draft 11-26-13</u>

19

20

21

care;

horse that is on association grounds;

1	(c) The name of the horse for which the product is intended or prescribed;
2	(d) The dosage, duration of treatment and expiration date of the prescribed or dispensed
3	product; and
4	(e) The name of the trainer to whom the product was dispensed.
5	Section 15. Trainer Responsibility. (1) A trainer shall be responsible for the condition of a
6	horse in his or her care.
7	(2) A trainer shall be responsible for the presence of a prohibited drug, medication,
. 8	substance, or metabolic derivative, including permitted medication in excess of the maximum
9	allowable concentration, in a horse in his or her care.
10	(3) A trainer shall prevent the administration of a drug, medication, substance, or
11	metabolic derivative that may constitute a violation of this administrative regulation.
12	(4) A trainer whose horse has been claimed shall remain responsible for a violation of this
13	administrative regulation regarding that horse's participation in the race in which the horse is
14	claimed.
15	(5) A trainer shall be responsible for:
16	(a) Maintaining the assigned stable area in a clean, neat and sanitary condition at all
17	times;
18	(b) Using the services of those veterinarians licensed by the commission to attend to a

(c) The proper identity, custody, care, health, condition and safety of a horse in his or her

1	(d) Promptly reporting the alteration of the sex of a horse to the horse identifier and the
2	racing secretary;

- (e) Promptly reporting to the racing secretary and the commission veterinarian if a posterior digital neurectomy (heel nerving) is performed on a horse in his or her care and ensuring this fact is designated on its certificate of registration;
- 6 (f) Promptly reporting to the racing secretary the name of a mare in his or her care that
  7 has been bred and is entered to race;
  - (g) Promptly notifying the commission veterinarian of a reportable disease or communicable illness in a horse in his or her care;
  - (h) Promptly reporting the serious injury or death of a horse, in his or her care, at a location under the jurisdiction of the commission to the judges and the commission veterinarian and ensuring compliance with Section 22 of this administrative regulation governing postmortem examinations;
    - (i) Maintaining a medication record and medication status of a horse in his or her care;
  - (j) Promptly notifying the judges and the commission veterinarian if the trainer has knowledge or reason to believe that there has been an administration to a horse of a drug, medication, or other substance prohibited by this administrative regulation or has knowledge or reason to believe that a prohibited practice has occurred as set forth in Section 20 of this administrative regulation;
- 20 (k) Ensuring the fitness of every horse in his or her care to perform creditably at the distance entered;
  - (I) Ensuring proper bandages, equipment, and shoes;

1	(m) Ensuring the horse's presence in the paddock at least one (1) hour prior to post time,
2	or at a time otherwise prescribed, by racing officials before the race in which the horse is
3	entered;
4	(n) Personally attending in the paddock and supervising the preparation of a horse in his
5	or her care, unless an assistant trainer fulfills these duties or the trainer is excused by the
6	judges; and
7	(o) Attending the collection of a biologic specimen taken from a horse in his or her care or
8	delegating a licensed employee or the owner to do so.
9	Section 16. Licensed Veterinarians. (1) A veterinarian licensed by the commission and
10	practicing at a location under the jurisdiction of the commission shall be considered under the
11	supervision of the commission veterinarian and the judges.
12	(2) A veterinarian shall report to the judges or the commission veterinarian a violation of
13	this administrative regulation by a licensee.
14	Section 17. Veterinary Reports. (1) A veterinarian who treats a horse at a location under
15	the Jurisdiction of the commission shall submit a Veterinary Report of Horses Treated to be
16	Submitted Daily form to the commission veterinarian containing the following information:
17	(a) The name of the horse treated;
18	(b) The type and dosage of drug or medication administered or prescribed;
19	(c) The name of the trainer of the horse;
20	(d) The date and time of treatment; and
21	(e) Other pertinent information requested by the commission veterinarian.

5

6

7

8

9

10

11

12

13

14

15

16

17

- 1 (2) The Veterinary Report of Horses Treated to be Submitted Daily form shall be signed by 2 the treating veterinarian.
- (3) The Veterinary Report of Horses Treated to be Submitted Daily form shall be on file
   not later than the time prescribed on the next race day by the commission veterinarian.
  - (4) The Veterinary Report of Horses Treated to be Submitted Daily form shall be confidential and its content shall not be disclosed except in the course of an investigation of a possible violation of this administrative regulation or in a proceeding before the judges or the commission, or to the trainer or owner of record at the time of treatment.
  - (5) A timely and accurate filing of a Veterinary Report of Horses Treated to be Submitted Daily form by the veterinarian or his or her designee that is consistent with the analytical results of a positive test reported by the commission laboratory may be used as a mitigating factor in determining the appropriate penalties pursuant to 811 KAR 1:095.
  - (6) A veterinarian having knowledge or reason to believe that a horse entered in a race has received a drug, medication or substance prohibited under this administrative regulation or has knowledge or reason to believe that a prohibited practice has occurred as set forth in Section 20 of this administrative regulation shall report this fact immediately to the commission veterinarian or to the judges.
- 18 (7) A practicing veterinarian shall maintain records of all horses treated and of all medications sold or dispensed. The records shall include:
  - (a) The name of the horse;
- 21 (b) The trainer of the horse;
- 22 (c) The date, time, amount and type of medication administered;

1	(d) The drug or compound administered;
2	(e) The method of administration; and
3	(f) The diagnosis.
4	(8) The records shall be retained for at least sixty (60) days after the horse has raced and
5	shall be available for inspection by the commission.
6	Section 18. Veterinarian's List. (1) The commission veterinarian shall maintain a list of
7	horses determined to be unfit to compete in a race due to illness, physical distress,
8	unsoundness, infirmity, or other medical condition.
9	(2) A horse may be removed from the veterinarian's list if, in the opinion of the
10	commission veterinarian, the horse is capable of competing in a race.
11	(3) The commission veterinarian shall maintain a bleeder list of all horses that have
1.2	demonstrated external evidence of exercise-induced pulmonary hemorrhage during or after a
13	race or workout as observed by the commission veterinarian or a licensed veterinarian
L4	approved by the commission.
<b>L</b> 5	(4) A horse that is a confirmed bleeder, regardless of age, shall be placed on the bleeder
<b>l</b> 6	list and be ineligible to participate in a race (betting or nonbetting), qualifying race, time trial, or
l.7	official workout for the following time periods:
l.8	(a) First incident - fourteen (14) days;
19	(b) Second incident within a 365 day period - thirty (30) days;
20	(c) Third incident within a 365 day period - 180 days; and
21	(d) Fourth incident within a 365 day period - barred from racing for life.

1	(5) For the purpose of counting the number of days a horse is ineligible to run, the day
2	after the horse bled externally shall be the first day of the recovery period.

- (6) The voluntary administration of furosemide without an external bleeding incident shall not subject a horse to the initial period of ineligibility as defined in this section.
- 5 (7) A horse that has been placed on a bleeder list in another jurisdiction may be placed on the bleeder list maintained by the commission veterinarian.
  - Section 19. Distribution of Purses, Barn Searches, and Retention of Samples. (1) Purse money shall be distributed no later than twenty-four (24) hours after notice from the commission that a final laboratory report has been issued.
  - (2) The distribution of purse money prior to the issuance of a final laboratory report shall not be considered a finding that no prohibited drug, medication, substance, or metabolic derivative has been administered to a horse.
  - (3) After the laboratory issues a positive finding, the executive director of the commission or the judges shall immediately authorize and execute an investigation into the circumstances surrounding the incident that is the subject of the positive finding.
  - (4) At the conclusion of the investigation, a report shall be prepared and filed with the executive director and chairman of the commission detailing the findings of the investigation.
  - (5) If the purse money has been distributed, the judges shall order the money returned at the conclusion of an investigation finding that a prohibited drug, medication, substance, or metabolic derivative was administered to a horse eligible for purse money.
- (6) At the conclusion of testing by the commission laboratory and split sample laboratory,
   the remaining portion of the samples at the commission laboratory and split samples remaining

3

5

6

7

8

10

11

12

13

14

15

16

Ţ	at the test b	arn may be	retained at a	oroper tempera	ature at a secure	facility approved	and
2	chosen by th	ne commiss	ion. If a repor	t indicating a	positive finding	has been Issued,	the

commission shall use its best reasonable efforts to retain any remaining portion of the sample

4 until legal proceedings have concluded. The commission may freeze samples.

Section 20. Other Prohibited Practices. (1) A drug, medication, or substance shall not be possessed of used by a licensee, or his designee or agent, within a nonpublic area at a location under the jurisdiction of the commission:

- (a) The use of which may endanger the health and welfare of the horse; or
- 9 (b) The use of which may endanger the safety of the driver.
  - (2) Without the prior permission of the commission or its designee, a drug, medication or substance that has never been approved by the United States Food and Drug Administration (USFDA) for use in humans or animals shall not be possessed or used at a location under the jurisdiction of the commission. The commission shall determine whether to grant prior permission after consultation with the Equine Drug Research Council.
  - (3) The following blood doping agents shall not be possessed or used at a location under the jurisdiction of the commission:
- 17 (a) Erythropoletin;
- 18 (b) Darbepoetin;
- 19 (c) OxyglobinÒ;
- 20 (d) HemopureÒ; or
- 21 (e) Any substance that abnormally enhances the oxygenation of body tissue.

1	(4) A treatment, procedure or therapy shall not be practiced, administered, or applied
2	which may:
3	(a) Endanger the health or welfare of a horse; or
4	(b) Endanger the safety of a driver.
5	(5) Extracorporeal shock wave therapy or radial pulse wave therapy shall not be used
6	unless the following conditions are met:
7	(a) A treated horse shall not race for a minimum of ten (10) days following treatment;
8	(b) A veterinarian licensed to practice by the commission shall administer the treatment;
9	(c) The commission veterinarian shall be notified prior to the delivery of the machine on
10	association grounds; and
11	(d) A report shall be submitted by the veterinarian administering the treatment to the
12	commission veterinarian on the Kentucky Horse Racing Commission Veterinary Report of
13	Horses Treated with Extracorporeal Shock Wave Therapy form within twenty-four (24) hours of
14	treatment.
15	(6) Other than furosemide, an alkalizing substance that could alter the blood serum or
16	plasma pH or concentration of bicarbonates or carbon dioxide in a horse shall not be used
17	within twenty-four (24) hours prior to post time of the race in which the horse is entered.
18	(7) Without the prior permission of the commission veterinarian or his designee, based on
19	standard veterinary practice for recognized conditions, a nasogastric tube which is longer than
20	six (6) inches shall not be used for the administration of any substance within twenty-four (24)
21	hours prior to post time of the race in which the horse is entered.

- (8) A blood serum or plasma total carbon dioxide (TCO2) level shall not exceed 37.0 millimoles per liter in a horse to which furosemide has not been administered, or 39.0 millimoles per liter in a horse to which furosemide has been administered; except, no violation shall exist if the TCO2 level is found to be normal for the horse following the quarantine procedure set forth in Section 21 of this administrative regulation.
- (9) A blood gas machine shall not be possessed or used by a person other than an authorized representative of the commission at a location under the jurisdiction of the commission.
- (10) A shock wave therapy machine or radial pulse wave therapy machine shall not be possessed or used by anyone other than a veterinarian licensed by the commission at a location under the jurisdiction of the commission.
- Section 21. TCO2 Testing and Procedures. (1)(a) The presiding judge may order the prerace or post-race collection of blood specimens from, and pre-race or post-race testing of, a horse to determine the total carbon dioxide concentration in the blood serum or plasma of the horse. The winning horse and other horses, as directed by the presiding judge, may be tested in each race to determine if there has been a violation of this administrative regulation.
- (b) Pre-race and post-race testing shall be done at a reasonable time, place, and manner as directed by the presiding judge in consultation with the commission veterinarian.
- (c) A specimen consisting of at least two (2) blood tubes shall be taken from a horse to determine the TCO2 concentration in the blood serum or plasma of the horse. If the commission laboratory determines that the TCO2 exceeds 37.0 millimoles per liter in a horse to which furosemide has not been administered, or 39.0 millimoles per liter in a horse to which

- furosemide has been administered, the executive director of the commission shall be informed
   of the positive finding.
  - (d) If the specimen is taken prior to the race and the TCO2 exceeds 37.0 millimoles per liter in a horse to which furosemide has not been administered, or 39.0 millimoles per liter in a horse to which furosemide has been administered, the judges shall scratch the horse from the race.
  - (e) Split sample testing for TCO2 may be requested by an owner or trainer in advance of the collection of the specimen by the commission veterinarian; however, the collection and testing of a split sample for TCO2 testing shall be done at a reasonable time, place and manner directed by the commission veterinarian.
  - (f) The cost of split sample testing, including the cost of shipping, shall be borne by the owner or the trainer.
    - (2)(a) If the level of TCO2 is determined to exceed 37.0 millimoles per liter in a horse to which furosemide has not been administered, or 39.0 millimoles per liter in a horse to which furosemide has been administered, and the licensed owner or trainer of the horse certifies in writing to the judges within twenty-four (24) hours after the notification of the test result that the level is normal for that horse, the owner or trainer may request that the horse be held in quarantine. If quarantine is requested, the licensed association shall make guarded quarantine available for that horse for a period of time to be determined by the judges but not for more than 120 hours.
      - (b) The expense for maintaining the quarantine shall be borne by the owner or trainer.

1	(c) During	quarantine,	the	horse	shall	be	re-tested	periodically	by	the	commission
2	veterinarian										

- (d) The horse shall not be permitted to race during a quarantine period, but it may be exercised and trained at times prescribed by the licensed association and in a manner that allows monitoring of the horse by a commission representative.
- (e) During quarantine, the horse shall be fed only hay, oats, water, and, subject to the specific approval of the commission veterinarian, the horse's usual feed ration and supplements. In addition, subject to approval of the commission veterinarian, the horse shall be administered furosemide by the commission veterinarian in the same manner and at the same dosage as was provided to horses eligible for furosemide on the day which the horse in quarantine raced.
- (f) If the commission veterinarian is satisfied that the horse's level of TCO2, as registered in the original test, is physiologically normal for that horse, the judges:
  - 1. Shall permit the horse to race; and
- 2. May require repetition of the quarantine procedure set forth in paragraphs (a) through (f) of this subsection to reestablish that the horse's TCO2 level is physiologically normal.
- Section 22. Postmortem Examination. (1) A horse that dies or is euthanized on the grounds of a licensed association or training center under the jurisdiction of the commission shall undergo a postmortem examination at the discretion of the commission and at a facility designated by the commission, through its designee, as provided in 810 KAR 1:012, Section 14.
  - (2) The commission shall bear the cost of an autopsy that is required by the commission.

1	(3) The	presence	of a	prohibited	drug,	medication,	substance	or	metabolic	derivative
---	---------	----------	------	------------	-------	-------------	-----------	----	-----------	------------

- 2 thereof in a specimen collected during the postmortem examination of a horse that died during
- 3 a pari-mutuel race shall constitute a violation of this administrative regulation.
- 4 Section 23. Incorporation by Reference. (1) The following material is incorporated by
- 5 reference:

- (a) "Veterinary Report of Horses Treated to be Submitted Daily", KRC-2, 8/97;
- 7 (b) "Split Sample Chain of Custody Form", KHRC 18-01, 4/12;
- 8 (c) "Veterinary Report of Horses Treated with Extracorporeal Shock Wave Therapy ",
- 9 KHRC 18-02, 4/12; and
- 10 (d) "Therapeutic AAS Administration Form", KHRC 18-03, 4/12.
- 11 (2) This material may be inspected, copied, or obtained, subject to applicable copyright
- 12 law, at the Kentucky Horse Racing Commission, 4063 Iron Works Pike, Building B, Lexington,
- 13 Kentucky 40511, Monday through Friday, 8:00 a.m. to 4:30 p.m. This material is also available
- on the commission's Web site at http://khrc.ky.gov.

- 1 PUBLIC PROTECTION CABINET
- 2 KENTUCKY HORSE RACING COMMISSION
- 3 (Amendment)

7

8

9

10

11

14

15

16

17

18

19

person.

- 4 811 KAR 1:095. Disciplinary measures and penalties.
- 5 RELATES TO: KRS 230.215, 230.260, 230.265, 230.290, 230.300, 230.320
- 6 STATUTORY AUTHORITY: KRS 230.215, 230.240, 230.260, 230.320
  - NECESSITY, FUNCTION, AND CONFORMITY: KRS 230.215(2) and 230.260(8) authorize the commission to promulgate administrative regulations prescribing the conditions under which horse racing shall be conducted in Kentucky. KRS 230.240(2) requires the commission to promulgate administrative regulations restricting or prohibiting the use and administration of drugs or stimulants or other improper acts to horses prior to the horse participating in a race. This administrative regulation establishes the disciplinary powers and duties of the judges and
- This administrative regulation establishes the disciplinary powers and duties of the judges and the commission.
  - Section 1. Definitions. (1) "Associated person" means the spouse of an inactive person, or a companion, family member, employer, employee, agent, partnership, partner, corporation or other entity whose relationship, whether financial or otherwise, with an inactive person would give the appearance that the other person or entity would care for or train a horse, or perform veterinarian services on a horse for the benefit, credit, reputation, or satisfaction of the inactive

1	(2) "Class A drug" means a drug, medication, or substance classified as a Class A drug,
2	medication, or substance in the schedule.

- 3 (3) "Class B drug" means a drug, medication, or substance classified as a Class B drug, medication, or substance in the schedule.
- 5 (4) "Class C drug" means a drug, medication, or substance classified as a Class C drug, medication, or substance in the schedule.
- 7 (5) "Class D drug" means a drug, medication, or substance classified as a Class D drug, 8 medication, or substance in the schedule.
- 9 (6) "Companion" means a person who cohabits with or shares living accommodations with an inactive person.
- 11 (7) "Inactive person" means a trainer or veterinarian who has his or her license denied or 12 suspended or revoked for thirty (30) or more days pursuant to 811 KAR Chapter 1 or KRS 13 Chapter 230.
- 14 (8) "NSAID" means a non-steroidal anti-inflammatory drug.
- 15 (9) "Primary threshold" means the thresholds for phenylbutazone, flunixin, and ketoprofen provided in 811 KAR 1:090, Section 8(2)(c), (3)(c), and (4)(c), respectively.
- 17 (10) "Schedule" means the Kentucky Horse Racing Commission Uniform Drug, Medication,
  18 and Substance Classification Schedule as provided in 811 KAR 1:093.
- 19 (11) "Secondary threshold" means the thresholds for phenylbutazone and flunixin 20 provided in 811 KAR 1:090, Section 8(6)(b) and (c).
- 21 (12) "Withdrawal guidelines" means the Kentucky Horse Racing Commission Withdrawal
  22 Guidelines Standardbreds as provided in 811 KAR 1:093.

- Section 2. General Provisions. (1) An alleged violation of 811 KAR 1:090 shall be adjudicated in accordance with this administrative regulation, and with 811 KAR 1:100, 811 KAR 1:105, and KRS Chapter 13B.
  - (2) If a drug, medication, or substance is found to be present in a pre-race or post-race sample or possessed or used by a licensee at a location under the jurisdiction of the commission that is not classified in the schedule, the commission may establish a classification after consultation with either or both of the Association of Racing Commissioners International and the Racing and Medication Consortium or their respective successors.
  - (3) The judges and the commission shall consider any mitigating or aggravating circumstances properly presented when assessing penalties pursuant to this administrative regulation. Evidence of full compliance with the withdrawal guidelines shall be considered by the judges and the commission as a mitigating factor to be used in determining violations and penalties.
  - (4) Pursuant to KRS 230.320, the commission may suspend or revoke the commissionissued license of an owner, trainer, veterinarian, or other licensee.
    - (5) A licensee whose license has been suspended or revoked in any racing jurisdiction or a horse that has been deemed ineligible to race in any racing jurisdiction shall be denied access to locations under the jurisdiction of the commission during the term of the suspension or revocation.
- 20 (6) A suspension or revocation shall be calculated in calendar days, unless otherwise specified by the judges or the commission in a ruling or order.

- (7) Written or printed notice of the assessment of a penalty, including a written warning, shall be made to the person penalized. The notice shall be posted immediately at the office of the association and sent to the commission, the United States Trotting Association, and the Association of Racing Commissioners International, or their successors, to be posted on their respective official Web sites. If an appeal is pending, that fact shall be so noted.
- (8) A horse administered a substance in violation of 811 KAR 1:090 may be required to pass a commission-approved examination pursuant to 811 KAR 1:020, Section 5, or be placed on the veterinarian's list pursuant to 811 KAR 1:090, Section 18.
- (9) A person who claims a horse may void the claim if the post-race test indicates a Class A, B, or C drug violation, or a TCO2 level exceeding 37.0 millimoles per liter and receive reimbursement for reasonable costs associated with the claim as provided in 811 KAR 1:035, Section 3(14)(a)(3).
- (10) To protect the racing public and ensure the integrity of racing in Kentucky, a trainer whose penalty for a prior Class A violation or for a prior Class B third offense violation under this administrative regulation has not been finally adjudicated may, if stall space is available, be required to house a horse that the trainer has entered in a race in a designated stall for the twenty-four (24) hour period prior to post time of the race in which the horse is entered. If the judges require the trainer's horse to be kept in a designated stall, there shall be twenty-four (24) hour surveillance of the horse by the association and the cost shall be borne by the trainer.
- (11) A veterinarian who has engaged in prohibited practices in violation of 811 KAR 1:090 shall be reported to the Kentucky Board of Veterinary Examiners and the state licensing board of veterinary medicine by the judges.

1	(12)	An	administrative	action	or	the	imposition	of	penalties	pursuant	to	this
2	administra	itive	regulation shall	not cons	titu	te a b	ar or be con	side	red Jeopard	ly to prose	cutio	on of
3	an act that	viol	ates the criminal	statute	s of	Kentı	icky.					

- (13) If a person is charged with committing multiple or successive overages involving a Class C or Class D drug, medication, or substance, the judges or the commission may charge the person with only one (1) offense if the person demonstrates that he or she was not aware that overages were being administered because the positive test results showing the overages were unavailable to the person charged. In this case, the person alleging that he or she was not aware of the overages shall bear the burden of proving that fact to the judges or the commission.
- (14) Any person who has been fined under this administrative regulation shall be suspended until the fine has been paid in full.
- (15) A fine shall not be paid directly or indirectly by a person other than the person upon whom it is imposed and any payment made shall not serve to abate or satisfy any penalty imposed.
- (16) Written or printed notice of the assessment of a penalty shall be made to the person penalized, notice shall be posted immediately at the office of the association, and notice shall be forwarded immediately to the office of the commission, the United States Trotting Association, and the Association of Racing Commissioners International by the presiding judge or clerk of the course.
- (17) If the penalty is for a driving violation and does not exceed in time a period of five (5) days, the driver may complete the engagement of all horses declared in before the penalty

1	becomes	effective.	The	driver	may	drive	in	stake,	futurity,	early	closing	and	feature	races,
---	---------	------------	-----	--------	-----	-------	----	--------	-----------	-------	---------	-----	---------	--------

- during a suspension of five (5) days or less, but the suspension shall be extended one (1) day for
- 3 each date the driver drives in a race.

penalty is removed.

- (18) A horse shall not have the right to compete while owned or controlled wholly or in part by a person whose license has been suspended or revoked. An entry made by or for a licensee whose license has been suspended or revoked or for a horse which has been suspended shall be held liable for the entrance fee without the right to compete unless the
- (19) An association shall not willfully allow a person whose license has been suspended or revoked to drive in a race, or a suspended or disqualified horse to start in a race or a performance against time.
- (20) An association shall not willfully allow the use of its track or grounds by a licensee whose license has been suspended or revoked, or a horse that has been suspended.
- (21) If a person is excluded from a pari-mutuel association by the association, the commission shall be notified.
- (22) A person subject to current suspension, revocation, or expulsion shall not act as an officer of an association. An association shall not, after receiving notice of the penalty, employ or retain in its employ an expelled, suspended, disqualified, or excluded person at or on the track during the progress of a race meeting.
- (23) A licensee that has been suspended shall serve any suspension imposed:
- 21 (a) During the current race meet, if there are enough remaining days to serve out the suspension;

1	(b) During the next regularly scheduled race meet at the operating race track where the
2	infraction took place if there are not enough remaining days to serve out the suspension; or

- (c) During a race meet at another operating track in this state where the licensee seeks to engage in the activity for which he or she is licensed if the track where the infraction took place closes before another race meet is held at that track.
- (24) A penalty imposed by the United States Trotting Association or the racing commission, or other governing body, of any racing jurisdiction shall be recognized and enforced by the commission unless application is made for a hearing before the commission, during which the applicant shall show cause as to why the penalty should not be enforced against him in Kentucky.
- Section 3. Prior Offenses. A prior offense occurring in Kentucky or any other racing jurisdiction shall be considered by the judges and by the commission in assessing penalties. The judges shall attach to a penalty judgment a copy of the offender's prior record listing violations that were committed both inside and outside of Kentucky.
- Section 4. Penalties for Violations Not Related To Drugs or Medications. (1) A licensee who commits a violation classified as a Category 1 violation shall be subject to the following penalties as deemed appropriate by the commission in keeping with the seriousness of the violation and the facts of the case:
- (a) A suspension or revocation of licensing privileges from zero days to thirty (30) days;and
  - (b) Payment of a fine not to exceed \$5,000.

7

8

9

13

14

15

16

17

18

19

20

21

- 1 (2) A licensee who commits a violation classified as a Category 2 violation shall be subject
  2 to the following penalties as deemed appropriate by the commission in keeping with the
  3 seriousness of the violation and the facts of the case:
- 4 (a) A suspension or revocation of licensing privileges from thirty (30) days to sixty (60)
  5 days; and
- 6 (b) Payment of a fine not to exceed \$10,000.
  - (3) A licensee who commits a violation classified as a Category 3 violation shall be subject to the following penalties as deemed appropriate by the commission in keeping with the seriousness of the violation and the facts of the case:
- 10 (a) A suspension or revocation of licensing privileges from sixty (60) days to permanent 11 suspension or revocation; and
- 12 (b) Payment of a fine up to \$50,000.
  - (4) A violation of 811 KAR Chapter 1 not otherwise specifically addressed shall be a Category 1 violation and shall be subject to the penalties set forth in subsection (1) of this section.
  - Section 5. Penalties for Violations Relating to Class A, B, C, or D Drugs. (1) Class A drug. A horse that tests positive for a Class A drug shall be disqualified and listed as unplaced and all purse money shall be forfeited. In addition, a licensee who administers, or is a party to or responsible for administering a Class A drug to a horse, shall be subject to the following penalties as deemed appropriate by the commission in keeping with the seriousness of the violation and the facts of the case:
    - (a) For a first offense:

21

22

from sixty (60) days to 180 days; and

1	1. A minimum one (1) year suspension, absent mitigating circumstances. The presence of
2	aggravating factors may be used to impose a maximum of a three (3) year suspension or
3	revocation. Section 9 of this administrative regulation shall apply to any person whose licensing
4	privileges have been suspended or revoked; and
5	2. Payment of a fine of \$5,000 to \$10,000.
6	(b) For a second offense:
7	1. A minimum three (3) year suspension or revocation, absent mitigating circumstances.
8	The presence of aggravating factors may be used to impose a maximum of a five (5) year
9	suspension or revocation. Section 9 of this administrative regulation shall apply to any person
10	whose licensing privileges have been suspended or revoked; and
11	2. Payment of a fine of \$10,000 to \$20,000.
12	(c) For a third lifetime offense in any racing jurisdiction:
13	1. A minimum five (5) year suspension or revocation, absent mitigating circumstances. The
14	presence of aggravating factors may be used to impose a maximum of a lifetime revocation.
15	Section 9 of this administrative regulation shall apply to any person whose licensing privileges
16	have been suspended or revoked; and
17	2. Payment of a fine of \$20,000 to \$50,000.
18	(d) Horse ineligible. A horse that tests positive for a Class A drug shall be ineligible to race
19	in Kentucky as follows:
20	1. For a first offense, the horse shall be ineligible from zero days to sixty (60) days;

2. For a second offense in a horse owned by the same owner, the horse shall be ineligible

3

4

5

6

7

15

16

17

18

- 3. For a third offense in a horse owned by the same owner, the horse shall be ineligible from 180 days to 240 days.
  - (2) Class B drug. A horse that tests positive for a Class B drug shall be disqualified and listed as unplaced and all purse money shall be forfeited. In addition a licensee who administers, or is a party to or is responsible for administering a Class B drug to a horse shall be subject to the following penalties as deemed appropriate by the commission in keeping with the seriousness of the violation and the facts of the case:
- 8 (a) For a first offense:
- 1. A minimum fifteen (15) day suspension, absent mitigating circumstances. The presence of aggravating factors may be used to impose a maximum of a sixty (60) day suspension.

  Section 9 of this administrative regulation shall apply to any person whose licensing privileges have been suspended or revoked; and
- 2. Payment of a fine of \$500 to \$1,000.
- (b) For a second offense within a 365-day period in any racing jurisdiction:
  - 1. A minimum sixty (60) day suspension, absent mitigating circumstances. The presence of aggravating factors may be used to impose a maximum of a 180 day suspension. Section 9 of this administrative regulation shall apply to any person whose licensing privileges have been suspended or revoked; and
    - 2. Payment of a fine of \$1,000 to \$2,500.
- 20 (c) For a third offense within a 365-day period in any racing jurisdiction:
- 1. A minimum 180 day suspension, absent mitigating circumstances. The presence of aggravating factors may be used to impose a maximum of a one (1) year suspension. Section 9

1	of this administrative regulation shall apply to the person whose licensing privileges have been
2	suspended or revoked; and
3	2. Payment of a fine of \$2,500 to \$5,000.
4	(d) Horse ineligible. A horse that tests positive for a Class B drug shall be ineligible to race
5	in Kentucky as follows:
6	1. For a first offense, the horse shall be ineligible from zero days to sixty (60) days;
7	2. For a second offense in a horse owned by the same owner, the horse shall be ineligible
8	from sixty (60) days to 180 days; and
9	3. For a third offense in a horse owned by the same owner, the horse shall be ineligible
10	from 180 days to 240 days.
11	(3) Class C drug or overage of either permitted NSAID flunixin or ketoprofen.
12	(a)The following licensees shall be subject to the penalties in paragraphs (b) through (d) of
13	this subsection as deemed appropriate by the commission in keeping with the seriousness of
14	the violation and the facts of the case:
15	1. A licensee who administers, or is a party to or responsible for administering a Class C
16	drug to a horse, in violation of 810 KAR 1:090; and
17	2. A licensee who is responsible for an overage of either permitted NSAID flunixin or
18	ketoprofen in the following concentrations in violation of 811 KAR 1:090:
19	a. Flunixin, greater than 100 ng/ml; or
20	b. Ketoprofen, greater than 50 ng/ml.
21	(b) For a first offense:
22	1. A suspension or revocation of licensing privileges from zero (0) days to ten (10) days;

1	2. Payment of a fine of \$250 to \$500; and
2	3. Forfelture of purse money won.
3	(c) For a second offense within a 365-day period:
4	1. A suspension or revocation of licensing privileges from ten (10) days to thirty (30) days;
5	2. Payment of a fine of \$500 to \$1,000; and
6	3. Forfelture of purse money won.
7	(d) For a third offense within a 365-day period:
8	1. A suspension or revocation of licensing privileges from thirty (30) days to sixty (60)
9	days;
10	2. Payment of a fine of \$1,000 to \$2,500; and
11	3. Forfelture of purse money won.
12	(e) Notwithstanding paragraphs (a) through (d) of this subsection, a licensee who
13	administers, or is a party to or responsible for an overage of either permitted NSAID flunixin or
14	ketoprofen in the following concentrations shall be subject to the following penalties as
1.5	deemed appropriate by the commission in keeping with the seriousness of the violation and the
16	facts of the case:
17	1. Flunixin (21-99 ng/ml);/or
18	2. Ketoprofen (11-49ng/ml).
19	a. For a first offense:
20	(i) A suspension or revocation of licensing privileges from zero (0) days to five (5) days;
21	<u>and</u>
22	(II) Payment of a fine of \$250 to \$500.

1	b. For a second offense within a 365-day period:
2	(i) A suspension or revocation of licensing privileges from five (5) days to ten (10) days;
3	and
4	(ii) Payment of a fine of \$500 to \$1,000.
5	c. For a third offense within a 365-day period:
6	(i) A suspension or revocation of licensing privileges from ten (10) days to fifteen (15)
7	days.
8	(ii) Payment of a fine of \$1,000 to \$2,500; and
9	(III) Forfelture of purse money won.
10	(4) Overage of Permitted NSAID Phenylbutazone.
11	(a) A licensee who administers, or is a party to or responsible for an overage of the
12	permitted NSAID phenylbutazone in a concentration of greater than 2.0 mcg/ml and less than
13	5.1 mcg/ml shall be subject the following penalties as deemed appropriate by the commission
14	in keeping with the seriousness of the violation and the facts of the case:
15	1. For a first offense:
16	a. Minimum penalty of a written warning up to a maximum penalty of a \$500 fine; and
17	b. The horse may not be eligible to enter until it has been approved for racing by the
18	commission veterinarian.
19	2. For a second offense within a 365-day period:
20	a. Minimum penalty of a written warning up to a maximum penalty of a \$750 fine; and
21	b. The horse shall not be eligible to enter until it has been approved for racing by the
22	commission veterinarian.

1	3. For a third offense within a 365-day period:
2	a. A fine of \$500 to \$1,000;
3	b. Forfeiture of purse money won;
4	c. The horse shall be disqualified and listed as unplaced; and
5	d. The horse shall not be eligible to enter until it has been approved for racing by the
6	commission veterinarian.
7	(b) A licensee who administers, or is a party to or responsible for an overage of the
8	permitted NSAID Phenylbutazone in a concentration of greater than 5.0 mcg/ml shall be subject
9	to the following penalties as deemed appropriate by the commission in keeping with the
10	seriousness of the violation and the facts of the case:
11	1. For a first offense, payment of a fine from \$1,000 to \$1,500; and
12	2. For a second offense within a 365-day period:
13	a. Payment of a fine from \$1,500 to \$2,500;
14	b. A suspension of licensing privileges for fifteen (15) days, unless the stewards or the
15	commission finds mitigating circumstances;
16	c. Forfelture of purse money won; and
17	d. The horse shall be disqualified and listed as unplaced.
18	3. For a third offense within a 365-day period:
19	a. A fine of \$2,500 to \$5,000;
20	b. A suspension of licensing privileges for thirty (30) days, unless the stewards or the
21	commission finds mitigating circumstances;
22	c. Forfelture of purse money won; and

### <u>Draft 11-26-13</u>

1	g. The norse shall be disquainted and listed as unplaced.
2	Class C drug. A licensee who administers, or is a party to or is responsible for
3	administering a Class C drug to a horse or an overage of a permitted NSAID shall be subject
4	to the following penalties as deemed appropriate by the commission in keeping with the
5	seriousness of the violation and the facts of the case:
6	(a) For a first offense:
7	1. A suspension or revocation of licensing privileges from zero days to ten (10) days.
8	Section 9 of this administrative regulation shall apply to any person whose licensing privileges
9	have been suspended or revoked; and
10	2. Payment of a fine of \$250 to \$500,
11	(b) For a second offense within a 365-day period:
12	1. A suspension or revocation of licensing privileges from ten (10) days to thirty (30) days.
13	Section 9 of this administrative regulation shall apply to any person whose licensing privileges
14	have been suspended or revoked; and
15	2. Payment of a fine of \$500 to \$1,000.
16	(c) For a third offense within a 365-day period:
17	1. A suspension or revocation of licensing privileges from thirty (30) days to sixty (60)
18	days. Section 9 of this administrative regulation shall apply to any person whose licensing
19	privileges have been suspended or revoked; and
20	2. Payment of a fine of \$1,000 to \$2,500.
21	(54) Multiple NSAIDs. A licensee who is responsible for an overage of two (2) of the
22	permitted NSAIDs flunixin, ketoprofen, or phenylbutazone shall be subject to the following

- 1 penalties as deemed appropriate by the commission in keeping with the seriousness of the
- 2 violation and the facts of the case:
- 3 (a) For violations where the concentrations of both of the two (2) permitted NSAIDs is
- 4 above the primary thresholds:
- 5 1. For a first offense:
- a. A suspension or revocation of licensing privileges from zero days to sixty (60) days.
- 7 Section 9 of this administrative regulation shall apply to a person whose licensing privileges
- 8 have been suspended or revoked;
- 9 b. Payment of a fine of \$500 to \$1,000; and
- 10 c. Forfeiture of purse money won.
- 2. For a second offense within a 365-day period:
- a. A suspension or revocation of licensing privileges from sixty (60) days to 180 days.
- 13 Section 9 of this administrative regulation shall apply to a person whose licensing privileges
- 14 have been suspended or revoked;
- b. Payment of a fine of \$1,000 to \$2,500; and
- 16 c. Forfelture of purse money won.
- 3. For a third offense within a 365-day period:
- a. A suspension or revocation of licensing privileges from 180 days to one (1) year. Section
- 19 9 of this administrative regulation shall apply to a person whose licensing privileges have been
- 20 suspended or revoked;
- 21 b. Payment of a fine of \$2,500 to \$5,000; and
- c. Forfelture of purse money won.

1	(b) For violations where the concentration of one (1) of the two (2) permitted NSAIDs i
2	above the primary threshold and one (1) of the two (2) permitted NSAIDs is above the
3	secondary threshold:
4	1. For a first offense:
5	a. A suspension or revocation of licensing privileges from zero days to fifteen (15) days
6	Section 9 of this administrative regulation shall apply to a person whose licensing privileges
7	have been suspended or revoked;
8	b. Payment of a fine of \$250 to \$750; and
9	c. Forfeiture of purse money won.
10	2. For a second offense within a 365-day period:
11	a. A suspension or revocation of licensing privileges from fifteen (15) days to thirty (30
12	days. Section 9 of this administrative regulation shall apply to a person whose licensing
13	privileges have been suspended or revoked;
14	b. Payment of a fine of \$750 to \$1,500; and
15	c. Forfelture of purse money won.
16	3. For a third offense within a 365-day period:
17	a. A suspension or revocation of licensing privileges from thirty (30) days to sixty (60)
18	days. Section 9 of this administrative regulation shall apply to a person whose licensing
19	privileges have been suspended or revoked;

b. Payment of a fine of \$1,500 to \$3,000; and

c. Forfeiture of purse money won.

20

1	(c) For violations where the concentrations of both of the two (2) permitted NSAIDs are
2	below the primary threshold and both of the two (2) permitted NSAIDs are above the
3	secondary threshold:
4	1. For a first offense-within a 365-day period:
5	a. A suspension or revocation of licensing privileges from zero to five (5) days. Section 9 o
6	this administrative regulation shall apply to a person whose licensing privileges have been
7	suspended or revoked; and
8	b. Payment of a fine of \$250 to \$500.
9	2. For a second offense within a 365-day period:
10	a. A suspension or revocation of licensing privileges from five (5) days to ten (10) days
11	Section 9 of this administrative regulation shall apply to a person whose licensing privileges
12	have been suspended or revoked; and
13	b. Payment of a fine of \$500 to \$1,000.
14	3. For a third offense within a 365-day period:
15	a. A suspension or revocation of licensing privileges from ten (10) days to fifteen (15)
16	days. Section 9 of this administrative regulation shall apply to a person whose licensing
17	privileges have been suspended or revoked; and
18	b. Payment of a fine of \$1,000 to \$2,500.

(65) Class D drug.

trainer and owner.

19

20

21

(a) The penalty for a violation involving a Class D drug shall be a written warning to the

"Ł	(b) Multiple violations involving a class b drug may result in the following penalties as
2	deemed appropriate by the commission in keeping with the seriousness of the violation and the
3	facts of the case:
4	1. A suspension of licensing privileges from zero days to five (5) days; and
5	2. Payment of a fine of not more than \$250.
6	Section 6. Out-of-Competition Testing. The penalties established in 811 KAR 1:240,
7	Section 8, shall apply to violations involving the prohibited substances and practices described
8	In Section 2 of that administrative regulation.
9	Section 7. TCO2 penalties. A person who violates or causes the violation of 811 KAR
LO	1:090, Section 20(6), (7), or (8), shall be subject to the following penalties as deemed
l1	appropriate by the commission in keeping with the seriousness of the violation and the facts of
12	the case:
.3	(1) For a first offense involving a positive pre-race test result, the licensee shall be issued
L4	a warning.
.5	(2) For a first offense involving a positive post-race test result:
.6	(a) A suspension or revocation of licensing privileges from zero days to ninety (90) days.
.7	Section 9 of this administrative regulation shall apply to any person whose licensing privileges
.8	have been suspended or revoked; and
.9	(b) Payment of a fine of \$1,000 to \$1,500.
0.	(3) For a second offense involving a positive pre-race or post-race test result:

T	(a) A suspension of revocation of licensing privileges from three (3) months to six (6)
2	months. Section 9 of this administrative regulation shall apply to any person whose licensing
3	privileges have been suspended or revoked;
4	(b) Payment of a fine of \$1,500 to \$3,000; and
5	(c) Forfeiture of purse money won.
6	(4) For a third offense involving a positive pre-race or post-race test result:
7	(a) A suspension or revocation of licensing privileges from six (6) months to one (1) year.
8	Section 9 of this administrative regulation shall apply to any person whose licensing privileges
9	have been suspended or revoked;
10	(b) Payment of a fine of \$3,000 to \$5,000; and
11	(c) Forfeiture of purse money won.
12	(5) Subsequent offenses:
13	(a) A suspension or revocation of licensing privileges from one (1) year up to a lifetime
14	license revocation; and
15	(b) Forfeiture of purse money won.
16	(6) Horse ineligible. A horse that registers a TCO2 level in violation of 811 KAR 1:090 shall
17	be ineligible to race in Kentucky as follows:
18	(a) For a first offense, no period of ineligibility;
19	(b) For a second offense, the horse shall be ineligible from fifteen (15) days to sixty (60)
20	days;
21	(c) For a third offense, the horse shall be ineligible from sixty (60) days to 180 days; and
22	(d) For a fourth offense, the horse shall be ineligible from 180 days to one (1) year.

1	(7) In any instance of a positive pre-race TCO2 test result, the horse shall be scratched.
2	Section 8. Shock Wave Machine and Blood Gas Machine Penalties. A person who violates
3	or causes a violation of 811 KAR 1:090, Section 20(5), (9), or (10), regarding a shock wave
4	machine or blood gas machine shall be subject to the following penalties as deemed
5	appropriate by the commission in keeping with the seriousness of the violation and the facts of
6	the case:
7	(1) For a first offense:
8	(a) A suspension or revocation of licensing privileges from thirty (30) days to ninety (90)
9	days;
10	(b) Payment of a fine of \$1,000 to \$5,000; and
11	(c) Forfeiture of purse money won.
12	(2) For a second offense:
13	(a) A suspension or revocation of licensing privileges from ninety (90) days to 180 days;
<b>L</b> 4	(b) Payment of a fine of \$5,000 to \$10,000; and
15	(c) Forfelture of purse money won.
16	(3) For a third offense:
17	(a) A suspension or revocation of licensing privileges from 180 days to one (1) year;
18	(b) Payment of a fine of \$10,000 to \$20,000; and
19	(c) Forfeiture of purse money won.
20	Section 9. Persons with a Suspended or Revoked License. (1) A person shall not train a
21.	horse or practice veterinary medicine for the benefit, credit, reputation, or satisfaction of an

20

21

1	inactive person. The partners in a veterinary practice may provide services to horses if the
2	inactive person does not receive a pecuniary benefit from those services.
3	(2) An associated person of an inactive person shall not:
4	(a) Assume the inactive person's responsibilities at a location under the jurisdiction of the
5	commission;
6	(b) Complete an entry form for a race to be held in Kentucky on behalf of or for the
7	inactive person or an owner or customer for whom the inactive person has worked; or
8	(c) Pay or advance an entry fee for a race to be held in Kentucky on behalf of or for the
9	inactive person or an owner or customer for whom the inactive person has worked.
10	(3) An associated person who assumes the responsibility for the care, custody, or control
11	of an unsuspended horse owned (fully or partially), leased, or trained by an inactive person
12	shall not:
13	(a) Be paid a salary directly or indirectly by or on behalf of the inactive person;
14	(b) Receive a bonus or any other form of compensation in cash, property, or other
15	remuneration or consideration;
16	(c) Make a payment or give remuneration or other compensation or consideration to the
17	Inactive person or associated person; or
18	(d) Train or perform veterinary work for the inactive person or an owner or customer of
19	the inactive person at a location under the jurisdiction of the commission.

horse formerly under the care, training or veterinary services of an inactive person shall:

(4) A person who is responsible for the care, training or veterinary services provided to a

1	(a) Bill	customers	directly	on	his	or	her	bill	form	for	any	services	rendered	at	or	in
2	connection w	/ith anv race	meeting	ı İn İ	Kent	tuck	v:									

- (b) Maintain a personal checking account totally separate from and independent of that of the inactive person to be used to pay expenses of and deposit income from an owner or client of the inactive person;
- 6 (c) Not use the services, directly or indirectly, of current employees of the inactive person; and
  - (d) Pay bills related to the care, training and racing of the horse from a separate and independent checking account. Copies of the invoices for the expenses shall be retained for not less than six (6) months after the date of the reinstatement of the license of the inactive person or the expiration of the suspension of the inactive person's license.
  - Section 10. Other Disciplinary Measures. (1) A person who violates 811 KAR 1:090, Section 6, regarding furosemide on race day shall be treated the same as a person who has committed a Class C drug violation.
  - (2) A person who violates 811 KAR 1:090, Section 8(6), for administering a non-steroidal anti-inflammatory drug other than phenylbutazone or flunixin shall be treated the same as a person who has committed a Class C drug violation.
  - (3) A person who violates 811 KAR 1:090, Section 20(2), shall be treated the same as a person who has committed a drug violation of the same class, as determined by the commission after consultation with the Equine Drug Research Council.
- 21 (4) A person who violates 811 KAR 1:090, Section 20(3), shall be treated the same as a 22 person who has committed a Class A drug violation.

1.	(5) An association in violation of Section 2(19), (20), (21), or (22) of this administrative
2	regulation shall, together with its officers, be subject to a suspension or revocation of licensing
3	privileges for up to thirty (30) days and payment of a fine up to \$5,000 in keeping with the
4	seriousness of the violation and the facts of the case.
5	Section 11. Disciplinary Measures by Judges. Upon finding a violation or an attempted

- Section 11. Disciplinary Measures by Judges. Upon finding a violation or an attempted violation of 811 KAR Chapter 1 or KRS Chapter 230, if not otherwise provided for in this administrative regulation, the judges may impose one (1) or more of the following penalties:
- (1) If the violation or attempted violation may affect the health or safety of a horse or race participant, or may affect the outcome of a race, declare a horse or a licensee ineligible to race or disqualify a horse or a licensee in a race;
- (2) Suspend or revoke a person's licensing privileges for a period of time of not more than five (5) years in proportion to the seriousness of the violation and the facts of the case;
- (3) Cause a person, licensed or unlicensed, found to have interfered with, or contributed toward the interference of the orderly conduct of a race or race meeting, or person whose presence is found by the judges to be inconsistent with maintaining the honesty and integrity of the sport of horse racing, to be excluded or ejected from association grounds or from a portion of association grounds; and
- (4) Payment of a fine in an amount not to exceed \$50,000 as deemed appropriate by the commission in keeping with the seriousness of the violation and the facts of the case.
- Section 12. Disciplinary Measures by the Commission. (1) Upon finding a violation or an attempted violation of 811 KAR Chapter 1 or KRS Chapter 230, if not otherwise provided for in

1	this administrative regulation	, the commission	may Impose one	(1) or more of t	:he following
2	penalties:				

- (a) If the violation or attempted violation may affect the health or safety of a horse or race participant, or may affect the outcome of a race, declare a horse or a licensed person ineligible to race or disqualify a horse or a licensed person in a race;
- (b) Suspend or revoke a person's licensing privileges for a period of time of not more than five (5) years in proportion to the seriousness of the violation;
- (c) Cause a person found to have interfered with or contributed toward the interference of the orderly conduct of a race or race meeting, or person whose presence is found by the commission to be inconsistent with maintaining the honesty and integrity of horse racing, to be excluded or ejected from association grounds or a portion of association grounds; and
- (d) Payment of a fine of up to \$50,000 as deemed appropriate by the commission in keeping with the seriousness of the violation and the facts of the case.
  - (2) Upon appeal of a matter determined by the judges the commission may:
  - (a) Order a hearing de novo of a matter determined by the judges; and
- (b) Reverse or revise the Judges' ruling in whole or in part, except as to findings of fact by the judges' ruling regarding matters that occurred during or incident to the running of a race and as to the extent of disqualification fixed by the judges for a foul in a race.

UNITED TO	OI II INC	INEPACTION			DRUG	FINE OR		Suspension (days)
NUMBER	DATE	DATE	ISSUED TO	DETERMINATION	CLASS	WARNING	STATUS	
								Suspended pending
13-0001	1/12/2013		William Bingham	Disorderly conduct				appearance before Board of Stewards
								Dismislified suspended
								three racing days
13-0002	1/13/2013	Nc 1/11/2013 Jr.	Noberto Arroyo, Jr.	Careless riding aboard STRONG GOVERNMENT				(1/19/2013, 1/20/2013, 1/25/2013).
		12/27/2013 and		Omeprazole Sulfide (samples				
13-0003	1/24/2013	1/24/2013 12/28/2013	Luis A. Jurado	0021117 and 0021138)	D	Warning		
								Suspended 30 days (served 8 days from 1/24/2013-
				See 12-153 and 12-154,				1/31/2013, remainder
13-0004	1/24/2013		Sal Gonzalez, Jr.	withdrew request for stay			Stay Reinstated	stayed).
				Violating claim rule for 6th				1000000
13-0005	1/24/2013	1/18/2013	1/18/2013 Bobby Crabtree	race		\$500 fine	Paid	
				Dexamethasone (sample				Disqualified and purse
13-0006	1/24/2013	12/30/2012	12/30/2012 Adolfo Macias	0021206)	C	\$250 fine	Paid	money forfeited.
								Disqualified and purse
13-0007	1/24/2013	12/30/2012	12/30/2012 TREAY OF KADESH	Dexamethasone	U			money forfeited.
				Methocarbamol (sample				Disqualified and purse
13-0008	2/2/2013	10/28/2012	10/28/2012 Albert Stall, Jr.	0019357)	U	\$250 fine	Appealed	money forfeited.
				Restored to good standing-				Continued participation in
13-0009	2/2/2013	2/2/2013	2/2/2013 Marlon St. Julien	negative drug screen				substance abuse program.
				Methocarbamol (sample			The state of the s	Disqualified and purse
13-0010	2/9/2013	10/19/2012	10/19/2012 Brian A. Lynch	0018996)	C	\$250 fine	Appealed	money forfeited.
								Suspended 365 days
13-0011	2/9/2013	12/7/2012	12/7/2012 Daniel J. Werre	Levamisole (sample 0020732)	۷	\$5000 fine	Appealed	(stayed), disqualified and purse money forfeited.

RULING	RULING	INFRACTION			DRUG PENALTY	FINE OR WRITTEN		Suspension (days)
NUMBER	DATE	DATE	ISSUED TO	DETERMINATION	CLASS	WARNING	STATUS	
:					-	-		Suspended 15 days
								(2/11/2013 -2/25/2013),
								disqualified and all purse
13-0012	2/9/2013	1/19/2013	1/19/2013 Melinda Winning	HEPS (sample 0021551)	В	\$500 fine	Paid	money forfeited.
								Disqualified and purse
13-0013	2/9/2013	1/19/2013 STELLA	STELLA	HEPS (sample 0021551)	В			money forfeited.
								Suspended pending
				Disorderly conduct (drugs and				appearance before Board of
13-0014	2/14/2013	2/7/2013	2/7/2013 Michelle Sexton	paraphernalia)				Stewards.
								Suspended pending
				Disorderly conduct (drugs and				appearance before Board of
13-0015	2/14/2013	2/7/2013	2/7/2013 Samantha Sexton	paraphernalia)				Stewards.
								Suspended pending
				Disorderly conduct (drugs and				appearance before Board of
13-0016	2/14/2013	2/7/2013	2/7/2013 Robert Glasgow	paraphernalia)				Stewards.
								Suspended pending
				Disorderly conduct (drugs and				appearance before Board of
13-0017	2/14/2013	2/7/2013	2/7/2013 Rebecca Tye	paraphernalia)				Stewards.
				Phenylbutazone and Flunixin				Suspended 10 days
13-0018	2/16/2013	12/15/2012	12/15/2012 Tevis McCauley	(sample 0020898)	С	\$1,000 Paid	Paid	(2/18/2013 - 2/27/2013).
				Failure to report alteration in			•	
				the sex of the horse SON OF				
13-0019	2/16/2013	1/26/2013	Eric Reed	THE SUBLIME		\$500	\$500 Paid	
				Phenylbutazone (sample				
13-0020	2/16/2013	1/27/2013	1/27/2013 Dennis Higgins	0021701)	C	Warning		
				Failure to conduct business in				
				proper manner (failing to				
				honor the call on COUNTESS				
13-0021	2/23/2013	2/16/2013	2/16/2013 Nelson Arroyo	CAUSEWAY)		\$200	\$200 Paid	
			Norberto Arroyo,	Failure to fulfill riding				
13-0022	2/23/2013	2/23/2013 Jr.	Jr.	engagement		\$100	\$100 Paid	

					DRUG	FINE OR		Suspension (days)
RULING NUMBER	RULING	INFRACTION DATE	ISSUED TO	DETERMINATION	PENALTY CLASS	WRITTEN	STATUS	
13-0023	3/6/2013	11/16/2012	11/16/2012 Fergus Bogle	Suspended for failture to pay fine on 12-0149 (\$200)				Indefinite suspension. Reinstatement contingent on payment of fine (\$200 from 12-0149).
13-0024	3/16/2013	11/7/2012	11/7/2012 Albert Stall, Jr.	Methocarbamol	C	\$500	\$500 Appealed	10 day suspension (stayed).
13-0025	3/23/2013	Nc 3/21/2013 Jr.	Norberto Arroyo, Jr.	Careless riding			Appeal withdrawn (3/29/13)	3 day suspension (3/29/2013, 3/30/2013, 4/5/2013).
13-0026	3/30/2013	3/16/2013	3/16/2013 Glen Thomason	Phenylbutazone (sample 0022211)	U	Warning		
13-0027	3/30/2013	3/22/2013	Donald R. Parker	Phenylbutazone (sample 0022808)	C	Warning		
13-0028	3/30/2013	3/29/2013	3/29/2013 Marlon St. Julien	Failure to conduct business in a proper manner		\$100	Paid	
13-0029	3/30/2013	3/29/2013	3/29/2013 IVY CONNECTION	Claim from 7th race on March 29th, 2013 is void				Horse is returned to original owner and all monies involved shall be credited to the proper accounts.
13-0030	4/2/2013		Brinda D. Robbins	Participating in racing without obtaining a license and failure to heed a directive of the Stewards				Suspending pending appearance before the Board of Stewards.
13-0031	4/11/2013	4/11/2013	4/11/2013 Martin Chuan	License rescinded for discontinuance of activity for which license was issued				License rescinded.

licensing procedure.				
Restored to good standing after completing the proper	pe Br	ng per	ng per	ng per
Disorderly conduct (terroristic threatening)	⊒.∣	ristic	ristic	ristic
Striking another jockey during the 2nd race on 4/21/13	Ę	uring	uring	uring
Failure to conduct business in a proper manner	SSS	ess in	\$250	
Careless riding				
Careless riding				
Violating claim rule for 1st	#	St	\$1,500	
Disorderly conduct				
Xylazine (sample 0022000)	9	0)	0)	0)
Xylazine (sample 0022000)	9	0) B	В \$500	В
DETERMINATION		CLASS	CLASS WARNING	
		DRUG PENALTY	DRUG FINE OR PENALTY WRITTEN	

RULING	RULING	INFRACTION			DRUG	FINE OR WRITTEN		Suspension (days)
NUMBER	DATE	DATE	ISSUED TO	DETERMINATION	CLASS	WARNING	STATUS	
				Failure to have BANDI'S GAL				
				on the grounds in a timely				
13-0043	4/27/2013	4/26/2013	4/26/2013 Laura Bealmear	manner		\$100	Paid	
				Failure to conduct business in				
				a proper manner				
				(necessitating the late scratch				
(		1		of the horses KIRI'S DINNER				
13-0044	4/28/2013	4/2//2013	levis Q. McCauley	4/21/2013 Tevis Q. McCauley and ST. ARMANDS)		\$500 Paid	Paid	The state of the s
				Failure to fulfill riding				
13-0045	5/8/2013	5/4/2013	5/4/2013 Gary L. Stevens	engagement		\$200	Paid	
				Phenylbutazone and Flunixin				
13-0046	5/8/2013	4/19/2013 Kevin Rice	Kevin Rice	(sample 0024256)	S	\$250 Paid	Paid	
			Larry W.	Phenylbutazone and Flunixin				
13-0047	5/8/2013	4/19/2013 Demeritte	Demeritte	(sample 0023244)	C	\$250	Paid	
			Timothy E.	Phenylbutazone (sample				
13-0048	5/8/2013	4/20/2013 Salzman	Salzman	0024306)	U	\$250	Paid	
			-	Omeprazole sulfide (sample				
13-0049	5/8/2013	4/18/2013	4/18/2013 Doug O'Neill	0023212)	۵	\$250	Paid	
								Suspended three racing days
								(5/11/2013, 5/12/2013,
13-0050	5/10/2013	5/3/2013	5/3/2013 Robby J. Albarado	Careless riding				5/16/2013).
			Norberto Arrovo.					Suspended three racing days
13-0051	5/11/2013	5/9/2013 Jr.	Jr.	Careless riding				(5/16/2013 - 5/18/2013).
000	0,000,000	2007		Phenylbutazone (sample	(	000	•	
T3-0057	5/24/2013	5/1/5013	5/1/2013 lan R. Wilkes	0024647)	<u>ي</u>	\$1,000 Paid	Paid	

Disorderly conduct (assault) that occurred on the
Disorderly conduct (assault)
Withdrew appeal of ruling #13-
С
•
Claim from 11th race on May
PENALTY CLASS

					DRUG	FINE OR		Suspension (days)
RULING	RULING	INFRACTION	O. 1001		PENALTY 6: 200	WRITTEN		
NUMBER	DAIE	DAIE	ISSUED TO	DETERMINATION	CLASS	WARNING	STATUS	
	-			Disorderly conduct (drug				Suspended pending
				possession) that occurred on				appearance before the
				the association grounds at				Board Stewards to answer
13-0063	6/22/2013	6/20/2013	Eric T. Scherer	Churchill Downs				the charges.
								L 7
								Suspended 15 days
				Clenbuterol (HFL sample:				(7/15/2013 - 7/29/2013).
				0023017, LSU sample:				Horse disqualified and all
13-0064	6/28/2013	4/13/2013	4/13/2013 Andrew McKeever	SS01051)	В	\$500	Paid	purse money forfeited.
				Clenbuterol (HFL sample:				Horse disqualified and all
13-0065	6/28/2013	4/13/2013	DAISY DEVINE	0023017)	В			purse money forfeited.
			James P.	Failure to conduct business in				
13-0066	6/29/2013	6/28/2013 McNernev	McNernev	a proper manner.		\$200	Paid	
						1		
	***			1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1				
				Written protest involving				
				horse claim was filed after the				
13-0067	6/29/2013	6/28/2013	6/28/2013 Michael J. Maker	48 hour deadline and denied				
				Assistant trainer license is				
				rescinded and is issued an				
13-0068	6/29/2013		Gary Borgemenke	owner/trainer license				
				Owner/trainer license is		Thursday.	111111111111111111111111111111111111111	
				rescinded and is issued a				
13-0069	7/7/2013		Kimberly Nesbitt	Racing Official license				
				Failure to fulfill riding		<b>V</b> 11		1000
13-0070	7/7/2013	7/4/2013	7/4/2013 Ramon A. Vazquez	engagement		\$200 Paid	Paid	
				Failure to fulfill riding				
13-0071	7/7/2013	7/4/2013	Dylan Davis	engagement		\$300 Paid	Paid	

13-0081	13-0080	13-0079	13-0078	13-0077	13-0076		13-0075	13-0074	13-0073	13-0072	RULING
7/27/2013	7/26/2013	7/26/2013	7/26/2013	7/21/2013	7/20/2013		7/20/2013	7/13/2013	7/13/2013	7/12/2013	RULING DATE
7/5/2013	7/9/2013		4/27/2013	7/4/2013	7/15/2013		7/15/2013	5/3/2013	5/3/2013	7/12/2013	INFRACTION DATE
Jerry Joe 7/5/2013 Greenwell	Angelica Gutierrez	Philip Bauer	4/27/2013 Mark E. Casse	David Hunt	7/15/2013 Chris Gish		7/15/2013   Chris McCormick	5/3/2013 FORTUNE PLAY	5/3/2013 John A. Booker, Jr.	7/12/2013 Joseph C. Paulley	ISSUED TO
Flunixin (sample 0028593)	Disorderly conduct	Assistant trainer license is rescinded and is issued an owner/trainer license	Methocarbamol (sample 0024555)	Phenylbutazone (sample 0028566)	Disorderly conduct		Disorderly conduct	Testosterone (sample 0026005)	Testosterone (sample 0026005)	Failure to conduct business in a proper manner.	DETERMINATION
n			С	С				B	8		DRUG PENALTY CLASS
\$250			\$500	Warning					\$500	\$200 Paid	FINE OR WRITTEN WARNING
Paid			Paid				,		Paid	Paid	STATUS
	Suspended pending appearance before the Board of Stewards.				appearance before the Board of Stewards to answer the charges.	Suspended pending	Suspended pending appearance before the Board of Stewards to answer the charges.	Horse disqualified and all purse money forfeited.	Suspended 15 days (7/14/2013 - 7/28/2013). Horse disqualified and all purse money forfeited.		Suspension (days)

					DRUG	FINE OR		Suspension (days)
RULING	RULING	INFRACTION			PENALTY	WRITTEN		
NUMBER	DATE	DATE	ISSUED TO	DETERMINATION	CLASS	WARNING	STATUS	
								Suspended three racing days
								(8/3/2013, 8/4/2013,
13-0082	7/28/2013	7/26/2013	7/26/2013 Santo Sanjur	Careless riding				8/9/2013).
			Norberto Arroyo,					Suspended three racing days
13-0083	8/1/2013	7/27/2013 Jr.	Jr.	Careless riding				(8/9/2013 - 8/11/2013).
								Suspended pending
				Failure to disclose criminal				appearance before Board of
13-0084	8/3/2013		Melvin W. Smith	history				Stewards.
				Failure to fulfill riding				
13-0085	8/4/2013	8/2/2013	8/2/2013 Jesus L. Castanon	engagement	TOTAL PARTIES	\$100	Paid	
				Failure to conduct business in				
13-0086	8/4/2013	8/3/2013	8/3/2013 Terry Miller	a proper manner		\$200	Paid	
				Diphenhydramine (sample				Suspended 15 racing days
13-0087	8/9/2013	7/7/2013	7/7/2013 John R. Dyer	0028664)	В	\$500	Paid	(8/20/2013 - 9/3/2013).
				Diphenhydramine (sample				Horse disqualified and all
13-0088	8/9/2013	7/7/2013	7/7/2013 DON SUAVE	0028664)	В			purse money forfeited.
13-0089	8/9/2013	12/22/2012	12/22/2012 Eric Vaughan	Restored to good standing				
								Suspended pending
								appearance before Board of
13-0090	8/9/2013		Candy S. Loney	Disorderly conduct				Stewards.
				Failure to fulfill riding				
13-0091	8/18/2013	8/17/2013	8/17/2013 Dylan Davis	engagement		\$200	Paid	
				Failure to fulfill riding				
13-0092	8/18/2013	8/17/2013	8/17/2013 Eddie Zuniga	engagement		\$200 Paid	Paid	
13-0093	8/18/2013	8/17/2013	8/17/2013 Miguel Mena	Careless riding				Suspended three racing days (8/23/2013 - 8/25/2013).

13-0104	13-0103	13-0102	13-0101	13-0100	13-0099	13-0098	13-0097	13-0096	13-0095	13-0094	RULING NUMBER
9/12/2013	9/6/2013	9/5/2013	9/5/2013	9/5/2013	8/31/2013	8/31/2013	8/31/2013	8/31/2013	8/24/2013	8/24/2013	RULING DATE
9/6/2013				8/11/2013	8/30/2013	8/31/2013	8/30/2013	8/25/2013	9/21/2008	8/23/2013	INFRACTION DATE
9/6/2013 Miguel Mena	Eric Sherer	Steven Penrod	Robert Desensi	8/11/2013 Chad Cook	8/30/2013 Denic F. Black	8/31/2013 C.J. McMahon	8/30/2013 Oriana Rossi	8/25/2013 Santo Sanjur	9/21/2008 Eric L. Roberts	8/23/2013 Eric Vaughan	ISSUED TO
Careless riding	Restored to good standing after participation in a substance abuse program	Association employee license is rescinded and is issued a Racing Official license	Owner/trainer license is rescinded and is issued a Racing Official license	Phenylbutazone (sample 0029896)	Disorderly conduct	Failure to fulfill riding engagement	Failure to fulfill riding engagement	Careless riding	Restored to good standing	Disorderly conduct	DETERMINATION
				С							DRUG PENALTY CLASS
				\$250		\$200	\$100	\$100 Paid			FINE OR / WRITTEN WARNING
				Paid		Paid	Paid	Paid			STATUS
Suspended three racing days (9/15/2013, 9/18/2013, 9/20/2013).					Suspended pending appearance before Board of Stewards.			Suspended three racing days (9/6/2013 - 9/8/2013).		Suspended pending appearance before Board of Stewards.	Suspension (days)

RULING	RULING	INFRACTION			DRUG PENALTY	FINE OR WRITTEN		Suspension (days)
NUMBER	DATE	DATE	ISSUED TO	DETERMINATION	CLASS	WARNING	STATUS	
(			:					Suspended pending appearance before the
13-0105	9/12/2013		Colleen Bush	Criminal charges				Board of Stewards.
13-0106	9/13/2013	8/24/2013	8/24/2013 Jack Hancock	Phenylbutazone (sample	Ĺ	\$25U	Paid	
				Phenvibutazone (sample			3	
13-0107	9/13/2013	8/10/2013	8/10/2013 David Hunt	0029862)	U	\$250	Paid	
			1	Phenylbutazone (sample				
13-0108	9/13/2013	8/9/2013	8/9/2013 Robert Winstead	0029842)	ပ	Warning		
13-0109	9/26/2013	8/30/2013	8/30/2013 Asron Shorter	Phenylbutazone (sampe	,	ÇJEO	7.00	
2010	2/ 20/ 2010	0,00/2010	או פווסווכוו	(+01000	ر		raiu	The state of the s
13-0110	9/26/2013	9/2/2013	Phenylbu 9/2/2013   Stephen V. Fosdick   0030218)	Phenylbutazone (sample 0030218)	U	\$250	Paid	
							Triple.	Suspended pending
								appearance before the
13-0111	9/26/2013	9/20/2013	9/20/2013 Mary M. McEwan	Disorderly conduct				Board of Stewards.
				Clenbuterol (HFL sample:				Suspended 20 days
				0029873, LSU sample:				(10/7/2013 - 10/26/2013,
13-0112	9/26/2013	8/10/2013	8/10/2013 Kellyn Gorder	SS01088)	Δ	\$500 Paid	Paid	inclusive).
				Clenbuterol (HFL sample:			111111111111111111111111111111111111111	
				0029873, LSU sample:				Disqualified, all purse money
13-0113	9/26/2013	8/10/2013	8/10/2013 BELLE NATALIE	SS01088)	В			forfeited.
				Failure to fulfill riding				
13-0114	10/13/2013	10/11/2013	Dylan Davis	engagements in two races		\$200	Paid	
				Assistant trainer license is				
			Jacqueline R.	rescinded and is issued an				
13-0115	10/16/2013		Higgins	owner/trainer license				
				Hydrocortisone Sodium				
13-0116	10/18/2013	9/21/2013	Carolyn S. Murphy	9/21/2013 Carolyn S. Murphy   Succinate (sample 0034515)	C	\$500 Paid	Paid	

13	13	13	13	13	1,5	13	13	N R
13-0124	13-0123	13-0122	13-0121	13-0120	13-0119	13-0118	13-0117	RULING NUMBER
10/26/2013	9/7/2013 a	10/25/2013	10/25/2013	10/24/2013	10/23/2013	10/18/2013	10/18/2013	RULING DATE
9/13/2013	9/7/2013 and 9/14/2013		10/23/2013	10/5/2013	8/16/2013	9/13/2013	9/21/2013	INFRACTION DATE
9/13/2013 Seth Romero	Eddie Kenneally	Miguel Mena	10/23/2013 Joseph Rocco, Jr.	10/5/2013 Nick J. Caruso	Darrin Miller	9/13/2013 Carolyn S. Murphy	9/21/2013 TOP SMOOCHER	ISSUED TO
Flunixin (sample 0032019)	9/7/2013: Phenylbutazone and Flunixin (sample 0030332). 9/14/2013: Phenylbutazone and Flunixin (sample 00322077).	Waived right to a hearing before the Board of Stewards for failure to obey the order of a racing official by using offensive and profane language in the starting gate after being warned	Careless riding	Omeprazole sulfide (sample 0034109)	Firocoxib (sample 0029926)	Possession of hypodermic needles and syringes	Hydrocortisone Sodium Succinate (sample 0034515)	DETERMINATION
C	CorD			D	С		C	DRUG PENALTY CLASS
\$1,500	\$750	\$200		\$250	\$250	\$500		FINE OR WRITTEN WARNING
Paid	Paid	Paid		Paid	Paid	Paid		STATUS
Suspended 60 days (11/7/2013 - 1/5/2014, inclusive).			Suspended four racing days (10/30/2013, 10/31/2013, 11/3/2013, 11/6/2013).				Horse disqualified and all purse money forfeited.	Suspension (days)

					DRUG	FINE OR		Suspension (days)
RULING	RULING	INFRACTION			PENALTY	WRITTEN		
NUMBER	DATE	DATE	ISSUED TO	DETERMINATION	CLASS	WARNING	STATUS	
				Ambroxol and Multiple				Disqualified and all purse
13-0125	10/26/2013	9/13/2013	9/13/2013 RYANS JOY	NSAIDS (sample 0032019)	B and C			money forfeited.
				Possession of hypodermic				
				syringe, needles and				
				numerous infectiable				Suspended 180 days
13-0126	10/26/2013		Seth Romero	medications				(1/6/2014 - 7/4/2014).
				Assistant trainer license is				
				rescinded and is issued a				
13-0127	10/27/2013		Casey Lovell	Racing Official license				
				Waived right to a hearing				
	,			before the Board of Stewards				
				for participating in racing				
				without first obtaining a				
13-0128	10/27/2013		David T. Stober	license		\$500	Paid	
				Failure to fulfill riding				
13-0129	10/30/2013	10/27/2013	10/27/2013 Dylan Davis	engagement		\$200	Paid	
				Assistant trainer license is				
				rescinded and is issued an				
13-0130	11/1/2013		Anita Dawn Roe	owner/trainer license				
				Failure to fulfill riding				
13-0131	11/8/2013	11/6/2013	11/6/2013 Victor M. Lebron	engagement		\$100	Not paid	
								Suspended 30 days
								(11/11/2013 - 12/10/2013,
13-0132	11/8/2013	10/19/2013	10/19/2013 Michael D. Sullivan	Detomidine (sample 0035680)	В	\$500	Paid	inclusive).
	,							Suspended 3 days
								(11/14/2013-11/16/2013,
13-0133	11/10/2013	11/8/2013	11/8/2013 Thomas Pompell	Careless riding				inclusive)
								Suspended 3 days
								(11/15/2013-11/17/2013,
13-0134	11/10/2013	11/8/2013	11/8/2013 James Cory Orm	Careless riding				inclusive)

	\$100 Not Paid	\$100		TIGER	12/5/2013 Oliva Inirio	12/5/2013	12/6/2013	13-0142
				Failure to have attendant present during Furosemide administration for NIMBLE				
	Not Paid	\$200		Failure to have NICKEL PICKEL and ARCH OF TITUS on the grounds in a timely manner to receive Furosemide within time(s) designated	12/1/2013 Jose G. Castanon	12/1/2013	12/5/2013	13-0141
	Not Paid	\$200		Failure to fulfill riding engagement	11/24/2013 Victor M. Lebron	11/24/2013	11/29/2013	13-0140
				Claim protest from 4th race on November 23, 2013 denied	11/23/2013 FRISCO EXSECTIVE	11/23/2013	11/27/2013	13-0139
Horse is delivered to the only valid claimant and all monies shall be credited to the proper accounts.	·			Claim from 4th race on November 23, 2013 is void	11/23/2013 FRISCO EXSECTIVE	11/23/2013	11/24/2013	13-0138
	Not paid	\$500	С	Ergonovine (sample 0036123)	11/2/2013 Gary L. Gray	11/2/2013	11/24/2013	13-0137
	Not paid	\$500	С	Dembrexine (sample 0036131)	11/2/2013 D. Kelly Ackerman	11/2/2013	11/24/2013	13-0136
Disqualified and all purse money forfeited.			B	Detomidine (sample 0035680)	STEW BOY	10/19/2013 STEW BOY	11/19/2013	13-0135
Suspension (days)	STATUS	FINE OR WRITTEN WARNING	DRUG PENALTY CLASS	DETERMINATION	ISSUED TO	INFRACTION DATE	RULING DATE	RULING

### **2013 STANDARDBRED RULINGS**

					DRUG	FINE OR		Suspension
RULING	RULING	INFRACTION			PENALTY	WRITTEN		(days)
NUMBER	DATE	DATE	ISSUED TO	DETERMINATION	CLASS	WARNING	STATUS	
		,						Suspended 365
								days (1/9/2013-
								1/8/2014). Purse
								of \$7500 to be
								returned.
12013-001	01/09/13	08/19/12	08/19/12 Joseph Carroll	Methamphetamine positive	٨			
						-		Suspended
								1,095 days
								(1/9/2014-
								1/7/2017). Purse
								of \$3750 to be
								returned.
12013-002	01/09/13	08/20/12	08/20/12 Joseph Carroll	Methamphetamine positive	А			
				Action against license: restored to				
12013-003	03/06/13	03/04/13	03/04/13 Michael Kravchak	good standing				
								Suspended three
								days (5/29/2013 -
								5/31/2013).
12013-004	06/30/13	05/22/13	05/22/13 Christopher Loney	Careless driving				
								Suspended 14
								days (4/28/13 -
								5/11/2013).
								Horse
								disqualified,
								purse of \$5,000
								to be
12013-005	04/26/13	09/20/13	09/20/13 Ervin Miller	Minoxidil (sample 0017820)	В			redistributed.

### **2013 STANDARDBRED RULINGS**

RULING	RULING	INFRACTION			DRUG PENALTY	FINE OR WRITTEN		Suspension (days)
NUMBER	DATE	DATE	ISSUED TO	DETERMINATION	CLASS	WARNING	STATUS	,
								Suspended 14
								days (4/28/2013 - 5/11/2013).
J2013-006	04/26/13	09/20/12	09/20/12 LeWayne Miller	Minoxidil				
		and the second s		Sample collected contained excess				
J2013-007	05/16/13	04/12/13	04/12/13 Morgan Hagerman	Flunixin (sample 0023789)	C	\$250	Paid	
								Suspended 14
								days (5/18/2013-
								5/31/2013).
	***							Purse of \$800 to
								be returned.
J2013-008	05/17/13	04/10/13	04/10/13 Tyler Shehan	Stanozolol (sample 0023774)	В			
i do companyo de la c								Suspended 14
								days (5/18/2013-
								5/31/2013).
								Purse of \$800 to
								be returned.
J2013-009	05/17/13	04/10/13	04/10/13 Mark Murriel	Stanozolol (sample 0023774)	В			
		And Angles of the Angles					Not paid,	Horse disqualified,
							Suspende purse	purse
J2013-010	06/16/13	05/16/13	05/16/13 Devernon Wilson	Flunixin (sample 0023875)	С	\$250	d	redistribution.
							Not paid,	
J2013-011	06/16/13	05/22/13	05/22/13 Devernon Wilson	Flunixin (sample 0023887)	C	\$250	۵.	

RULING	RULING	INFRACTION			DRUG PENALTY	FINE OR WRITTEN		Suspension (days)
NUMBER	DATE	DATE	ISSUED TO	DETERMINATION	CLASS	WARNING	STATUS	
							Not paid, Suspende	
12013-012	06/30/13	05/02/13	05/02/13 Samuel Greer	Phenylbutazone (sample 0023834)	S	\$250	g	
12013-013	06/30/13	05/01/13	05/01/13 Samuel Greer	Phenylbutazone (sample 0023803)	С			
J2013-014	06/30/13	05/15/13	05/15/13 Samuel Greer	Phenylbutazone (sample 0023869)	U			
								Suspended 30
								days (7/01/2013
								7/30/2013).
							•	Horse
								disqualified,
								purse to be
								redistribution.
12013-015	06/30/13	05/01/13	05/01/13 Darrell Moore	Testosterone (sample 0023829)	В			
								Suspended 60
								days (7/31/2013
								9/28/20130.
								Horse
								disqualified,
								purse
								redistribution.
12013-016	06/30/13	05/01/13	05/01/13 Darrell Moore	Testosterone (sample 0023833)	В			

	Paid	\$50		late driver change	09/01/13 David I. Nelson	09/01/13	09/01/13	12012-025
A CONTRACT MATERIAL TO A CONTRACT AND A CONTRACT AN		- Avenue		KHRC	08/30/13 Misty L. Carey	08/30/13	08/30/13	J2013-024
		,		Restored to good standing by the				
	Not Paid	\$50		Failure to drive when programmed	08/22/13 Tyler Alan Smith	08/22/13	08/25/13	J2013-023
	Not paid	\$250	C	Flunixin (sample 0027226)	07/07/13 Robert J. Williams, Jr.	07/07/13	08/22/13	J2013-022
	Paid	\$200	C	Flunixin (sample 0031501)	08/04/13 Marna Shehan	08/04/13	08/22/13	J2013-021
				9/17/2013 - 12/16/2013.	07/31/13 Darrell Moore	07/31/13	07/31/13	J2013-020
				29 days having been already served.				
				been amended to 120 days total with				
12/16/2013).				015, J2013-016 and J2013-017 have				
Suspended 91 days (9/17/2013 -		,		Penalties from the KHRC rulings J2013-				
				been replaced by Ruling J2013-019	07/31/13 Darrell Moore	07/31/13	07/31/13	J2013-019
				2013-015, 2013-016, 2013-017 have				
				Penalties for the KHRC Judges Rulings				
				good standing	Benny Christensen		07/24/13	J2013-018
				Action against license: restored to				
		and a second	В	Testosterone (sample 0023846)	05/03/13 Darrell Moore	05/03/13	06/30/13	J2013-017
redistribution.								
purse								
disqualified,								
Horse								
10/28/2013).								
days (9/29/2013 -							1100	
Suspended 30								
	STATUS	WARNING	CLASS	DETERMINATION	ISSUED TO	DATE	DATE	NUMBER
(days)		WRITTEN	PENALTY			INFRACTION	RULING	RULING
suspension		FINE OR	DRUG					

Suspension (davs)	•	Horse disqualified,	purse	and a see	days (7/8/2013 -	7/7/2014).	Horse	disqualified,	purse	redistribution.	Suspended 30	days	(10/28/2013 -	11/26/2013).	Suspended 30	days	(10/28/2013 -	11/26/2013).					Horse	disqualified,	purse	redistribution.	
	STATUS	H <sub>O</sub>	pu Paid re		on da	//	H	<u>qi</u>	nd	Ā	Su	<del>d</del> a	<u>(1</u>	Not paid 11	nS	da	(1)	11	Not Paid	Not Paid	Not Paid	Paid	HC	<del>·</del> ĕ		Not Paid re	
FINE OR WRITTEN	WARNING		\$250											\$500					\$100	\$100	\$100		700			5500	
DRUG PENALTY	CLASS		U							<																	
	DETERMINATION		Methocarbamol (sample 0031561)							1 avamisola (cample 0077105)	Hypodermic needle was found in his	vehicle. Sent to HFL Sports Science for	analysis and was found to contain	Furosemide.			Allowed himself to be listed as trainer	on a horse not in his care.	Failure to be properly dressed	Failure to be properly dressed	Coming to the gate out of position	Late driver change		· · · · · · · · · · · · · · · · · · ·	Wethocarbamol, Flunixin (sample	UU3TSU3)	_
	ISSUED TO		09/11/13 Thomas E. Horner. Jr.							06/30/13   Jaramy D. Cavitt				08/22/13 Morgan Hagerman				06/30/13 Lawrence Cooper	09/27/13 Yannick Gingras	09/28/13 Symon Spicer	09/29/13 Jody C. Jamieson	Carl R. Jamieson			· · · · · · · · · · · · · · · · · · ·	US/U4/15 Barry L. Armstrong	
INFRACTION	DATE		09/11/13							06/30/13	or loo loo			08/22/13				06/30/13	09/27/13	09/28/13	09/29/13	09/28/13			27,407,00	U8/U4/T3	
RULING	DATE		09/14/13							09/02/13	22 /20 /20			10/10/13				10/10/13	09/30/13	09/30/13	09/30/13	09/30/13			00/00/42	09/30/13	
RULING	NUMBER		12013-026							12013-027				12013-028				12013-029	12013-030	12013-031	12013-032	12013-033			1,00,000	J2U13-U34	

Not poid redistribution	\$500	 C	0036259)	10/03/13 Rvan R. Maxwell	10/24/13	12013-042
			Hydrocortisone Succinate (sample			
disqualified,						
Horse						
\$250).		i na	Failure to pay fine	10/18/13 Samuel Greer	10/18/13	J2013-041
#2013-012:		-				
fine (Ruling						
failure to pay						
indefinitely for						
Suspended						
\$250).			Failure to pay fine	10/18/13 Devernon Wilson	10/18/13	J2013-040
2013-011:						
\$250; Ruling						
#2013-010:						
fines (Ruling						
failure to pay						
indefinitely for				•		
Suspended						
- PAY	direction of the state of the s		Interference	10/05/13 Edward A. Greeno	10/05/13	J2013-039
10/8/13).						
days (10/6/13 -						
Suspended three						
Not Paid	\$150		Interference	10/04/13 Corey Callahan	10/16/13	J2013-038
Paid	\$500		Kicking a horse	10/05/13 Brian J. Sears	10/09/13	J2013-037
Not paid	\$500		Kicking a horse	10/05/13 Tim A. Tetrick	10/09/13	J2013-036
STATUS	WARNING	CLASS	DETERMINATION	DATE ISSUED TO	DATE	NUMBER
	WRITTEN	PENALTY		INFRACTION	RULING IN	RULING
Suspension	FINE OR	DRUG				

### Third Quarter (7/1-9/30) 2013 HFL Sport Science Testing Summary

### ТНОВОЛЕНВЯЕР ВАСІИС

### **SAMPLE ANALYSIS SUMMARY**

\$ 128,527.00				TOTAL
00'055'1	00.02	18		Out of Competition (blood)
8,203,00	00.£1	169		Pre-race TCO2 (blood)
1,705.00	00.22	31		Post-work (blood)
2,367.00	00.801	77		(boold) səirminī gnissA
00.084,11	00,04	782	Untested/retained	
100,950,001	150,00	£L9	Tested	
			rate	
			sample collection	Paired (blood/urine)
			97.0 % paired	Post Race
220,00	20,00	II	Untested/retained	
\$ 5,052,00	00,801 \$	61	Tested	
Total	Cost ber samble			Post Race Blood only

### KEPORTS OF FINDING

Red	Gold	Frequency	Penalty Class	Substance
I		Ţ	В	Androxol
	I	I	B	Clenbuterol
I		Ţ.	В	Diphenhydramine
I		I	Э	Firocoxib
	I	I	Э	Hydrocortisone succinate
I		Ţ	UIAZN	Flunixim
ī		Ţ	GIAZN	PBZ > 5 mcg
3	I.	\$	USAID	PBZ >2 <5 mog
3	7	Þ	USAID	$2 \text{ NSAIDs} > 2^{\circ} \text{ threshold}$

### STANDARDBRED RACING

Post Race Blood only			Cost per sample	Total
	Tested	61	\$ 108.00	\$ 6588.00
	Untested/retained	15	20.00	300.00
Post Race Paired (blood/urine)	82.9 % paired sample collection rate			
	Tested	321	150.00	48,150.00
	Untested/retained	47	40.00	1,880.00
Racing Injuries (blood)		0,	108.00	0,00
Post-work (blood)		0	55.00	0.00
TOTAL				\$ 56,918.00

Substance	Penalty Class	Frequency
Flunixin	C	2
Methocarbamol	C	2

Total 3<sup>rd</sup> quarter testing expense: \$ 185,445.00

# Race-related Fatal Injury Occurrence over Time—All Kentucky racetracks

2013	2012	2011	2010	2009	2008	2007	Year
2	0	2	2	ω	ယ	2	Jan
2	0	2	<b></b> 4	5	0	1	Feb
0	1	1	2*	,1	5	5	Mar
0	2	<b></b>	1**	2	2	2	Apr
1	8	2	0	4	υs	4	May
2	2	5	υs	1	2	ယ	Jun
<b>_</b> _	0	Д.	Ą	2	. 1	4	Jul
5	2	ß	2	4	2	2	Aug
4	0/3#	2/1**	<b>1</b> —4	ယ	ωi	ပ	Sep
1	3/1**	4	2	ယ	3	5	Oct
<b>,</b>	5	ပ	7	2	4	4	Nov
	3	<b>J4</b>	. 1	3	8	5	Dec
	26/30	27	26	33	36	40	Total

Fatality related to racing accident subsequent to equipment failure Fatality not musculoskeletal origin

Fatalities were race, but not exercise, related. (Examples: gate, paddock or post parade trauma)

### **KHRC Veterinary Report**

### Churchill Fall 2013 Meet

<b>Total Starts</b>		2247
•	Post Race Samples	526
	tCO <sub>2</sub>	106
	*	N 400 MI 401 MI 401 MI 401 MI 401 MI 401 MI 401 MI 401 MI 401 MI 401 MI 401 MI 401 MI 401 MI 401 MI 401 MI 401
÷		
Veterinary S	cratches	30
	Due De de	4.4
	Pre-Race On-Track	4.0
	On-track	TO
KHRC Veteri	nary List	45
	Scratches	30
	Race Injuries	* * * * * * * * * * * * * * * * * * *
	Post-Race Lame	~
	Heat Stress/Exaustion	
	EIPH	3
	Rhabdomyolysis (tied-up)	0
Ambulance (	Runs	10
Racing Fatali	ities	1
Training Fata	alities	3

m
2013
8
ï
ş
줌
₹
5
3
프
ġ
5
ű
SIDE
ន
œ
≿
$\overline{\mathbf{C}}$
2
Ξ
$\Theta$
Ξ
ά
Ю
$\mathbb{Z}$
띘
¥
≥
يآ
$\preceq$
Q
_

	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Yearly Total
Δm/West	\$207 301 00	\$545,069,00	\$468.650.00		\$1,221,020.00
eBet	\$194,636.00	\$301,955.00	\$287,960.00		\$784,551.00
Premier Turf Club	\$104,592.00	\$205,402.00	\$81,042.00		\$391,036.00
Racing2day	\$80.00	\$558.00	\$0.00		\$638.00
	\$11,387,384.00	\$19,558,202.00	\$12,279,952.00		\$43,225,538.00
Twin Spires	\$11,743,410.00	\$44,893,546.00	\$16,953,914.00		\$73,590,870.00
Xpressbet	\$1,393,000.00	\$2,634,000.00	\$1,633,000.00		\$5,660,000.00
Avatar Ventures	\$1,901,170.00	\$1,790,296.00	\$939,961.00		\$4,631,427.00
Lien Games Racing	\$319,491.00	\$401,598.00	\$318,325.00		\$1,039,414.00
TOTAL	\$27,251,064.00	\$70,330,626.00	\$32,962,804.00	\$0.00	\$130,544,494.00

## WAGERING ON HISTORICAL RACES TOTALS COMBINED- November 2013

Total Wagered	\$ 26,527,370.25
Total Commission (Total wagered minus takeout rates)	\$ 2,049,000.92
Net Track Commission	\$ 1,651,090.36
(Total Commission minus the pari-mutuel tax)  Purse Fund	231,152.65
(14% of the net track commission)  Breeder's Incentive Fund(1% of the net track commission)	16,510.90
State Commission	\$ 397,910.55
(Parl-mutuel tax1.5% of the total wagered)  Development Fund	\$ 198,955.28
(.75% of the total wagered) Equine Industry Program	53,054.74
(,2% of the total wagered)  Equine Drug Research	26,527.37
(.1% of the total wagered) Higher Education Fund	26,527.37
(.1% of the total wagered)  General Fund(.35% of the total wagered)	92,845.80
Returned to the Public	\$ 24,493,518.02

## WAGERING ON HISTORICAL RACES TOTALS WAGERING ON HISTORICAL RACES TOTALS

99'976'T07'77	\$
	(35% of the total wagered)
08.028,48	\$ General Fund Fund Fund
/C'+C7 <sup>4</sup> +7	Higher Education Fundbing
75.452,45	( we tot a tot a tot a second
76.482,42	Equine Drug Research
76 ACC AC	( sale total wagered)
t7.88t,88	Equine Industry Program\$
VL 83V 6V	(heter ed to to de to war i
62'252'787	\$Development Fund
02 232 000	(pari-mitted tax1.5% of the total wagered)
86.215,586	\$\$
	(1% of the net track commission)
LOUITO(CT	Breeder's Incentive Fund
48.710,21	14 AV CE 14 PA 94 Track COMMISSION
0.11CH7(0T7	\$
270,249,76	(sinvoid 17 of 290g fait fundamxsf leutum-lited and suring golgs larged leter)
66.887,102,1	Net Track Commission\$
	(Total wagered minus takeout rates)
۲'998'۲	\$
	\$beregevedberegevedberegeved
24,234,372.20	\$

# WAGERING ON HISTORICAL RACES TOTALS ELLIS PARK-November 2013

Total Wagered	\$ 2,292,998.05
Total Commission (Total wagered minus takeout rates)	183,701.35
Net Track Commission	\$ 149,306.38
(Total Commission minus the pari-mutuel taxAmount that goes to an approximately purse Fund	20,902.89
(14% of the net track commission)  Breeder's Incentive Fund(1% of the net track commission)	1,493.06
State Commission	\$ 34,394.97
State Commission(Pari-mutuel tax1.5% of the total wagered)  Development Fund	17,197.49
(.75% of the total wagered)  Equine Industry Program	4,586.00
(.2% of the total wagered)  Equine Drug Research	2,293.00
(.1% of the total wagered) Higher Education Fund(.1% of the total wagered) General Fund(.35% of the total wagered)	2,293.00
	8,025.49
Returned to the Public	\$ 2,091,591.35

### WAGERING ON HISTORICAL RACES TOTALS Combined- September 1, 2011 thru November 30, 2013

04.965,896,674	\$	Returned to the Public
		(35% of the total wagered.)
1,825,806.16	\$	General FundGeneral
		(1% of the total wagered)
257'658'90	\$	Higher Education FundHigher
		(heregened)
251'928'60	\$	
		(hayayaw letot adt to %C )
T8.71E,E40,1	\$	Equine Industry Program
		(\75% of the total wagered)
3,912,441.78	\$	Development Fund
		(bergew letot adt 10 %2, 1 xet lantum-izeq)
7,824,883.56	\$	State CommissionnoissimmoD state
		(1% of the net track commission)
88.700,388	خ	Breeder's Incentive Fund
96 700 366	Ą	(14% of the net track commission)
71.832,090, <i>₽</i>	\$	Purse Fund
V COO EEO 10	Y	(Total Commission minus the parl-mutuel tax)
33'986'805'88	\$	Net Track Commission
77 200 607 66	Y	
		(Total wagered minus takeout rates)
41,328,870.10	\$	Total Commission
	•	
221,658,903.70	\$	Total WageredTotal Wagered

### WAGERING ON HISTORICAL RACES TOTALS KY Downs- September 1, 2011 thru November 30, 2013

Total Wagered	\$ 487,367,974.15
Total Commission (Total wagered minus takeout rates)	\$ 38,620,466.84
Net Track Commission (Total Commission minus the pari-mutuel tax)	\$ 31,309,947.22
Purse Fund	\$ 4,383,392.61
(14% of the net track commission) Breeder's Incentive Fund(1% of the net track commission)	\$ 313,070.55
State Commission(Pari-mutuel tax1.5% of the total wagered)	\$ 7,310,519.61
Development Fund(.75% of the total wagered)	\$ 3,655,259.81
Equine Industry Program	\$ 974,735.95
(.2% of the total wagered)  Equine Drug Research	\$ 487,367.97
(.1% of the total wagered) Higher Education Fund	\$ 487,367.97
(.1% of the total wagered)  General Fund (.35% of the total wagered)	\$ 1,705,787.91
Returned to the Public	\$ 448,741,532.68

### WAGERING ON HISTORICAL RACES TOTALS Ellis Park- August 31, 2012 thru November 30, 2013

31,254,863.73	\$sid to the Public\$	Returr
	(.35% of the total wagered)	
170'018'52	General Fund\$	
,	(£1% of the total wagered)	
34,290.93	Higher Education Fund	
,	(.1% of the total wagered)	
56,092,45	Equine Drug Research \$	
	(.2% of the total wagered)	
98.182,86	Equine Industry Program \$	
	(75% of the total wagered)	
76.181,782	Development Fund	
	utuel tax1.5% of the total wagered)	
27 <b>4</b> '363'6 <del>4</del>	\$noissimmoD	State
	(1% of the net track commission)	
78'986'77	Breeder's Incentive Fund\$	
18 350 16		
15.231,705	Purse Fund(14% of the net track commission)	
13 331 706	Commission minus the parl-mutuel taxAmount that goes to Ellis Park)  Purse Fund	Lina
70'000'401'7		) letoT)
25,194,039.32	ack Commission \$	T tol
	wagered minus takeout rates)	/ letel )
72,804,807,2	commission	
20 007 002 0	~	g 7 edia
34,290,929.55	\$	Total

Total Handle on "Live" Kentucky Races: Churchill Downs

50.055'95',975		241,707,001-41	(4)464(d)			CO 350 700 1CO	\$11760765565	Total Monthly
		<21 767 661 A1	/1 175 Q2)	\$ 121 257 49 \$	(\$1 311 17)	\$4.859,458.29	\$26,756,550.09	Week 5 Total
\$ 5,905,681,38		\$7,257,569.42		\$38,707.62	(\$3,667.39)	\$1,616,071.73	\$8,902,681.38	11/30/13
\$ 8.281,063,86		\$6,736,159.76	(\$1,097.82)	\$47,947.86	\$934.54	\$1,497,119.52	\$8,281,063.86	11/29/13
\$ 4,868,190,13		\$3,959,199.14	(\$26.10)	\$22,628.27	\$774,46	\$885,614.36	\$4,868,190.13	11/28/13
\$ 4,698,614.72		\$3,814,733.09	(\$2.01)	\$22,583.74	\$647.22	\$860,652.68	\$4,698,614.72	11/27/13
s	\$ 116,69	\$73,927,666.49	(\$12,219.99)	\$421,788.60	\$1,290.76	\$16,547,577.60	590,886,103.46	Local Monthly
34,520,666.22 \$ (14,858,517.84)		\$15,988,996.28	(\$1,238.85)	\$90,521.89	\$1,022.38	\$3,582,846.68	\$19,662,148.38	Week 4 Total
\$5,828,406.19 \$ (1,583,584.60)		\$3,455,596.50	(\$3.97)	\$14,203.52	\$836.16	\$774,189.38	\$4,244,821.59	11/24/13
\$10,114,098.70 \$ (4,958,330.69)		\$4,222,153.58	(\$601.24)	\$28,116.75	(\$29,072.22)	\$935,171.14	\$5,155,768.01	11/23/13
\$8,847,747.53 \$ (5,280,784.25)		\$2,877,930.89		\$16,203.76	\$21,961.18	\$650,867.45	\$3,566,963.28	11/2/13
*		\$2,861,937.18	(\$0.23)	\$14,932.22	\$7,586.08	\$644,251.17	\$3,528,705.42	11/21/13
Ş	11/21/2012 \$4,6	\$2,571,378.13	(\$633.41)	\$17,065.64	(\$288.82)	\$578,367.54	\$3,165,889.08	11/20/13
\$ (	S	\$57,938,670.21	(\$10,981.14)	\$331,256.71	\$268.38	\$12,964,730.92	5/1,223,955.08	Cumulative
25,145,046.59 \$ (4,650,999.33)	\$ 25,1	\$16,665,028.87	(\$3,720.11)	\$108,566.30	(\$5,050.64)	\$3,729,222.84	\$20,494,047.26	Week 3 Total
_	11/18/2012 \$5,4	\$2,436,494.39	(\$3,013.20)	\$16,561.28	(\$8,544.20)	\$541,452.92	\$2,982,950.59	11/17/13
\$7,400,392.27 \$ (1,033,791.72)		\$5,177,363.97	(\$0.24)	\$33,203.20	\$1,960.73	\$1,154,072.89	\$6,366,600.55	11/16/13
\$4,747,276.68 \$		\$3,383,039.12	(\$651.82)	\$18,723.69	\$495.82	\$757,170.34	\$4,158,777.15	11/15/13
\$4,139,740.59 \$		\$3,311,536.00	(\$1.01)	\$24,844.64	(\$3,389.34)	\$746,209.59	\$4,079,199.88	11/14/13
	11/14/2012 \$3,3	\$2,356,595.39	(\$53.84)	\$15,233.49	\$4,426.95	\$530,317.10	\$2,906,519.09	11/13/13
w	\$ 57,0	\$41,273,641.34	(\$7,261.03)	\$222,700,41	\$5,319.02	\$9,235,508,08	\$50,729,907.82	Cumulative
24,779,924.58 \$ (3,040,838.74)	S	\$17,694,641.65	(\$4,206.92)	\$93,299.61	(\$2,067.59)	\$3,957,419.09	\$21,739,085.84	Week 2 Total
in.		\$4,344,203.99		\$25,711.57	(\$5,664.25)	\$976,065.37	\$5,340,316.68	11/10/13
\$6,785,013.45 \$ (1,022,209.37)	11/10/2012 \$6,7	\$4,690,014.07		\$22,393.83	\$7,009.99	\$1,043,386.19	\$5,762,304.03	11/09/13
		\$3,031,758.34	(\$1,810,17)	\$15,513,51	\$313.09	\$677,706.76	\$3,723,481.53	11/08/13
\$4,781,005.32 \$ (1,446,000,28)		\$2,713,790.81	(\$1.12)	\$13,584,41	\$464.86	\$607,166.08	\$3,335,005.04	11/07/13
s	l	\$2,914,874.44	(\$2,395.63)	\$16,096.29	(\$4,191.28)	\$653,094.69	\$3,577,478.51	11/06/13
	5 32.2	\$23,578,999.69	(\$3,054.11)	\$129,400.80	57,386.61	\$5,278,088.99	\$28,990,821.98	Cumulative
32.252.154.92 \$ (3.261.332.94)	8	\$23,578,999.69	(\$3,054.11)	\$129,400.80	\$7,386.61	\$5,278,088.99	\$28,990,821.98	Week 1 Total
\$4,905,060.55 \$	11/4/2012 \$4,9	\$3,714,120.93	(\$103.58)	\$20,573.34	\$5,200.22	\$832,538.55	\$4,572,329.46	11/03/13
\$7,056,634,85 \$		\$5,632,545.75		\$31,060.86	(\$11,003.44)	\$1,250,703.68	\$6,903,306.85	11/02/13
		\$4,601,720.73	(\$2,071,07)	\$23,817.71	\$8,618.01	\$1,025,998.16	\$5,658,083.54	11/01/13
S		\$2,726,131.78	(\$76.11)	\$14,897.21	\$3,506.77	\$613,134.43	\$3,357,594.08	10/31/13
	Ħ	\$2,860,961.22	(\$380.71)	\$15,139.68	\$409.04	\$646,627.79	\$3,522,757.02	10/30/13
\$6,266,722.95 (\$1,289,971.92)		\$4,043,519.28	(\$422.64)	\$23,912.00	\$656.01	\$5,086,38	\$4,976,751.03	10/27/13
andle Difference	race pare lotal Handle	- way	-					

	VC 136 VVOS	\$116.697.797.31	
	\$26,756,550.09		
	8,908,681.38	\$	
	8,281,063.86	· w	
	4,868,190.13	v	
	4,698,614.72	s	
-22.12%	(25,811,688,85)	116,697,792.31 \$	Ş
-43.04%	(14,858,517.84)	34,520,666.22 \$	•
-27.17%	(1,583,584.60)	\$5,828,406.19 \$	11/25/2012
49.02%	(4,958,330.69)	\$10,114,098.70 \$	11/24/2012
-59.69%	(5,280,784.25)	\$8,847,747.53 \$	11/23/2012
-30.95%	(1,581,640,72)	\$5,110,347.14 \$	11/22/2012
-31.48%	(1,454,177.58)	\$4,620,066.66 \$	11/21/2012
-13.33%	(10,953,171.01)	82,177,126.09 \$	1888
-18.50%	(4,650,999.33)	25,145,046.59 \$	•
-45,49%	(2,489,767.50)	\$5,472,718.09 \$	11/18/2012
-13.97%	(1,033,791.72)	\$7,400,392.27 \$	11/17/2012
-12,40%	(588,499.53)	\$4,747,276.68 \$	11/16/2012
-1.46%	(60,540.71)	\$4,139,740.59 \$	11/15/2012
-14.13%	(478,399.87)	\$3,384,918.96 \$	11/14/2012
-11.05%	(6,302,171.68)	57,032,079.50 \$	100
-12.27%	(3,040,838.74)	24,779,924.58 \$	\$
10.47%	506,216.99	\$4,834,099.69 \$	11/11/2012
-15.07%	(1,022,209.37)	\$6,785,013.45 \$	11/10/2012
-11.62%	(489,751.35)	\$4,213,232.88 \$	11/9/2012
-30.24%	(1,446,000.28)	\$4,781,005.32 \$	11/8/2012
-14.14%	(589,094.73)	\$4,166,573.24 \$	11/7/2012
-10.11%	(3,261,332.94)	32,252,154.92 \$	S
-10.11%	(3,261,332.94)	32,252,154.92 \$	\$
-6.78%	(332,731.09)	\$4,905,060.55 \$	11/4/2012
-2.17%	(153,328.00)	\$7,056,634.85 \$	11/3/2012
0.34%	47,117.76	\$5,610,965.78 \$	11/2/2012
-27.58%	(1,278,617.48)	\$4,636,211.56 \$	11/1/2012
-6.72%	(\$253,802.21)	\$3,776,559.23	10/31/2012
-20.58%	(\$1,289,971.92)	\$6,266,722.95	10/28/2012
resourage	OHIO CARCE		
Darrantson	Difference	Total Handle	Race Date

# Audit Check Report

Fair Grounds Finger Lakes Flamboro Freehold Raceway Golden Gate Fields	Breeders Cup @ Santa Anita Classic Doubl Calder Racecourse Charles Town Charlottetown Chester Downs Delta Downs Dever Downs Raceway Evangeline Downs	Track Aqueduct Australia Australia B Australia C Balmoral Bangor Raceway Batavia Park Beulah Park Breeders Cup @ Santa Anita	Date Range: Race Type: Locations: Tracks: Report By: Host:
\$35,347.30 \$422,117.80 \$43,492.90 \$17,873.60 \$70,991.40 \$370,067.00	\$18,158.00 \$391,278.70 \$96,035.30 \$513.00 \$126,689.50 \$344,789.90 \$145,165.00 \$53,347.30	Total Handle \$2,419,943.50 \$10,924.20 \$9,557.20 \$7,567.20 \$130,627.40 \$894.00 \$8,232.60 \$59,605.30 \$4,203,851.70	11/1/2013 - 11/30/2013 All All Locations All Tracks Track All Hosts
\$11,502.32 \$87,545.28 \$9,270.54 \$4,429.06 \$15,096.13 \$74,474.17	\$4,118.37 \$86,542.03 \$18,579.32 \$138.29 \$30,100.64 \$72,304.99 \$34,377.17 \$11 502 32	Commission \$470,235.51 \$2,607.63 \$2,297.06 \$1,838.03 \$27,837.37 \$203.80 \$1,809.04 \$12,406.22 \$867,657.08	
\$343.34 \$23,799.01 \$5,156.49 \$3,212.98 (\$682.89) \$523.04	\$3,788.54 (\$7,825.59) \$3,014.12 (\$16.18) \$6,004.45 (\$3,471.21) (\$14,172.87)	Adjustment \$26,275.01 \$1,616.12 \$1,274.64 (\$1,579.78) (\$2,688.40) \$236.83 \$1,010.39 \$7,258.05 \$106,098.61	
\$222.85 \$2,595.83 \$94.41 \$34.39 \$382.00 \$2,391.89	\$7.29 \$2,415.22 \$509.49 \$0.97 \$586.34 \$1,760.64 \$802.01 \$733.85	Pos Break \$10,216.90 \$15.67 \$10.10 \$9.49 \$457.29 \$5.60 \$28.97 \$288.79 \$16,569.92	

(\$249.80)

\$29,003.16 \$10,265.83 \$56,445.96

(\$31.70) (\$68.66) (\$358.91)

\$308,536.59

\$41,281.38

(\$2.59)

(\$822.96)

\$274,251.18 \$124,981.65

(\$91.68) (\$95.98) (\$55.70)

\$90,094.05

(\$186.33) (\$464.50)

\$310,333.37

\$74,396.87

\$481.60

\$0.00

\$10,243.80

(\$398.00) (\$476.30)

\$3,214,002.39

\$40,050.24

\$449.45 \$5,385.94

(\$67.96) (\$1.68) (\$1.74)

\$105,089.10

\$7,299.46

Neg Break (\$1,402.69)

\$1,914,622.59

Runner Pay

(\$0.01) (\$0.09)

\$6,684.79 \$5,975.49

\$0.00

	<b>Total Handle</b>	Commission	Adjustment	Pos Break	Neg Break	Runner Pav
Gulfstream Park	\$488,726.60	\$101,775.99	\$41,631.91	\$2,737.12	(\$130.08)	\$342,711.66
Hawthorne	\$1,090,444.30	\$226,215.57	\$59,128.73	\$6,198.73	(\$879.74)	\$799,781.01
Hialeah Park	\$2,938.10	\$579.23	(\$117.96)	\$6.53	(\$0.17)	\$2,470.47
Hollywood Park Fall	\$908,930.40	\$183,721.19	\$31,044.72	\$5,141.92	(\$119.47)	\$689,142.04
Hoosier Park	\$115,259.90	\$23,886.82	(\$1,513.50)	\$543.56	(\$21.84)	\$92,364.86
Laurel Park	\$778,493.70	\$167,390.86	\$44,936.95	\$4,107.60	(\$723.91)	\$562,782.20
Lebanon	\$7,228.40	\$1,541.42	\$596.33	\$36.14	(\$0.33)	\$5,054.84
Lone Star	\$10,244.40	\$2,286.96	\$2,169.22	\$29.25	(\$0.70)	\$5,759.67
Los Alamitos Quarters	\$29,900.00	\$6,521.68	(\$1,894.19)	\$119.62	(\$2.07)	\$25,154.96
Maywood Park	\$49,797.60	\$10,683.20	\$3,591.83	\$225.60	(\$59.28)	\$35,356.25
Meadowlands Racecourse (Harness)	\$115,284.30	\$22,779.01	(\$616.88)	\$462.45	(\$119.56)	\$92,779.28
Monmouth Park	\$9,740.30	\$1,939.67	(\$6,523.60)	\$18.99	\$0.00	\$14,305.24
Monticello Raceway	\$215,293.00	\$47,842.56	(\$14,765.79)	\$458.81	(\$436.16)	\$182,193.58
Mountaineer Park	\$142,296.50	\$28,886.76	\$2,417.39	\$1,053.05	(\$77.05)	\$110,016.35
Northfield Park	\$265,874.70	\$57,350.95	(\$1,975.72)	\$849.21	(\$186.91)	\$209,837.17
Northlands Park Harness	\$4,223.00	\$1,011.99	\$1,087.73	\$4.38	\$0.00	\$2,118.90
Penn National	\$186,709.00	\$42,115.00	\$4,395.40	\$1,132.96	(\$113.78)	\$139,179.42
Philadelphia Park/Parx	\$80,980.10	\$17,973.03	\$5,045.25	\$466.21	(\$45.44)	\$57,541.05
Plainridge Racecourse	\$5,062.00	\$1,240.73	\$952.37	\$18.40	\$0.00	\$2,850.50
Poconos	\$22,994.10	\$5,646.52	(\$1,207.62)	\$97.36	(\$7.27)	\$18,465.11
Pompano Park	\$32,781.40	\$6,595.19	(\$1,819.63)	\$84.52	(\$80.72)	\$28,002.04
Portland Meadows	\$5,673.80	\$1,187.59	\$1,241.98	\$13.89	\$0.00	\$3,230.34
Remington Park	\$98,036.90	\$20,588.78	\$11,248.89	\$565.86	(\$83.52)	\$65,716.89
Retama Park	\$31,511.30	\$6,850.96	\$2,331.11	\$126.68	(\$2.74)	\$22,205.29
Rideau Carlton Raceway	\$6,415.20	\$1,610.75	\$286.71	\$15.72	(\$6.92)	\$4,508.94
Rosecrott	\$1,910.30	\$449.59	(\$137.62)	\$4.91	\$0.00	\$1,593.42
Santa Anita Park	\$98,638.30	\$19,578.86	\$2,554.17	\$702.96	\$0.00	\$75,802.31
Saratoga Harness Raceway Night	\$19,300.00	\$4,327.98	\$1,286.78	\$59.51	(\$5.92)	\$13,631.65
Scarborough Downs	\$6,435.40	\$1,532.10	\$323.60	\$33.62	(\$6.07)	\$4,552.15
Sports Creek Raceway	\$3,640.00	\$888.41	\$460.92	\$21.16	(\$0.59)	\$2,270.10
Suffolk Downs	\$5,064.30	\$1,161.70	\$862.54	\$16.92	(\$152.71)	\$3,175.85

Summerside Raceway Night The Meadows The Raceway @ Western Fair District Turf Paradise Vernon Downs Watch and Wager Harness Will Rogers Downs Woodbine Woodbine Woodbine-Thoroughbred Yonkers Zia Park Total:
Total Handle \$48.00 \$200,515.00 \$29,707.00 \$130,743.50 \$2,234.90 \$143,291.20 \$5,270.40 \$187,062.00 \$738,877.20 \$323,466.10 \$44,428.90 \$15,597,194.00
Commission         Adjustment           \$14.52         (\$10.08)           \$46,723.70         (\$11,084.03)           \$7,081.94         (\$402.77)           \$29,978.22         \$12,824.22           \$462.79         \$110.47           \$32,214.81         (\$9,707.06)           \$1,165.41         (\$867.29)           \$41,162.50         \$8,275.25           \$148,822.28         \$46,096.54           \$72,433.02         (\$106,764.17)           \$9,920.69         \$751.10           \$3,241,510.98         \$285,418.90
Commission         Adjustment           \$14.52         (\$10.08)           \$46,723.70         (\$11,084.03)           \$7,081.94         (\$402.77)           \$29,978.22         \$12,824.22           \$462.79         \$110.47           \$32,214.81         (\$9,707.06)           \$1,165.41         (\$867.29)           \$41,162.50         \$8,275.25           \$148,822.28         \$46,096.54           \$72,433.02         (\$106,764.17)           \$9,920.69         \$751.10           241,510.98         \$285,418.90
Pos Break \$0.00 \$910.04 \$29.59 \$725.18 \$7.99 \$413.49 \$21.55 \$372.74 \$2,237.81 \$1,325.88 \$212.89 \$71,016.86
Neg Break (\$0.01) (\$84.21) (\$3.49) (\$302.20) (\$0.45) (\$148.95) (\$148.95) (\$129.85) (\$131.01) (\$7.19) (\$9,680.78)
Runner Pay \$43.57 \$164,049.50 \$23,001.73 \$87,518.08 \$1,654.10 \$120,518.91 \$4,952.15 \$137,381.36 \$541,751.69 \$356,602.38 \$33,551.41 \$12,008,931.86

### WAGERING ON HISTORICAL RACES TOTALS KENTUCKY DOWNS-October 2013

Total Wagered	\$	23,883,636.80
Total Commission(Total wagered minus takeout rates)	\$	1,840,909.28
Net Track Commission  (Total Commission minus the pari-mutuel taxAmount that goes to KY Downs)	\$	1,482,654.73
Purse Fund	\$	207,571.66
(14% of the net track commission) Breeder's Incentive Fund (1% of the net track commission)	\$	14,826.55
State Commission (Pari-mutuel tax1.5% of the total wagered)  Development Fund	\$ \$ \$	358,254.55 179,127.28 47,767.27 23,883.64 23,883.64 83,592.73
General Fund(.35% of the total wagered)	Þ	65,532.73
Returned to the Public	\$	22,080,345.96

## WAGERING ON HISTORICAL RACES TOTALS ELLIS PARK-October 2013

1,842,032.19	\$slepturned to the Public
	\$ Ceneral Fund
02.941,7	(horagonalist and a second
£9.240 <u>,</u> 2	(.1% of the total wagered) Higher Education Fund
	Equine Drug ResearchFquine Drug
2,042.63	(Dayabely) into to the second of the second
97.280,4	\$ State total wagered)  Equine Industry Program
72'6TE'ST	(Pari-mutuel tax1.5% of the total wagered)  Development Fund
44.659,05	\$ State Commission
	(1% of the net track commission)
T+'6ZE'T	(14% of the net track commission)  Breeder's Incentive Fund
78,624.32	Net Track Commission minus the pari-mutuel taxAmount that goes to Ellis Park)  (Total Commission minus the pari-mutuel taxAmount that goes to Ellis Park)
78.0E0,EE1	Net Track Commission
	(Total wagered minus takeout rates)
16.070,691	Total Commission\$
59.629,2 <del>4</del> 0,2	\$bagered

## WAGERING ON HISTORICAL RACES TOTALS COMBINED- October 2013

Total Wagered	\$	25,926,266.45
Total Commission (Total wagered minus takeout rates)	\$	2,004,579.60
Net Track Commission	\$	1,615,685.60
(Total Commission minus the pari-mutuel tax)  Purse Fund		226,195.98
(14% of the net track commission)  Breeder's Incentive Fund		16,155.96
(1% of the net track commission)		
State Commission	\$	388,894.00
(Pari-mutuel tax1.5% of the total wagered)  Development Fund		194,447.00
(.75% of the total wagered) Equine Industry Program		51,852.53
(.2% of the total wagered) Equine Drug Research		25,926.27
(.1% of the total wagered) Higher Education Fund		25,926.27
(.1% of the total wagered)  General Fund(.35% of the total wagered)		90,741.93
Returned to the Public	., \$	23,922,378.15

### WAGERING ON HISTORICAL RACES TOTALS KY Downs- September 1, 2011 thru October 31, 2013

20.808,856,824		Returned to the Public
	(p	eregew letot ethe total wagere
1,620,967.61		
		(.1% of the total wagered
09.551,534	p	
		(.1% of the total wagered
09.EE1,E9p		Equine Drug Research
	(	L2% of the total wagered
926,267.20	······································	Equine Industry Progr
		.75% of the total wagere
3,473,502.01		bnu-l tnamqolavaQ
	/agered)	w letot ent to %2.1xet leutum-ire9)
£0,400,746,8		noissimmoJ etat2
	luoissii	นแคว พระบาลัน อเมาเด (/ฮั)
	-	(1% of the net track comn
17,220,892	pul	
001717101711		14% of the net track com
4,173,142.85		m-ireq sha cunim missimmo latoT)
1710071000107	/vet loutu	
29,808,163.24		noissimmon varat toll
		(Total wagered minus takeout rates)
72.731,227,38		
	•	, , , , , , , , , , , , , , , , , , , ,
a.		
56'109'881'897		Total Wagered

### WAGERING ON HISTORICAL RACES TOTALS Ellis Park- August 31, 2012 thru October 31, 2013

Total Wagered	\$	31,997,931.50
Total Commission (Total wagered minus takeout rates)	\$	2,524,701.92
Net Track Commission	\$	2,044,732.95
(Total Commission minus the pari-mutuel taxAmount that goes to Ellis Park)		
Purse Fund	\$	286,262.61
(14% of the net track commission)  Breeder's Incentive Fund	د	20,443.78
(1% of the net track commission)	Ą	20,443.70
State Commission	\$	479,968.97
(Pari-mutuel tax1.5% of the total wagered)		
Development Fund	\$	239,984.49
(.75% of the total wagered)		
Equine Industry Program	\$	63,995.86
(.2% of the total wagered)		
Equine Drug Research	\$	31,997.93
(.1% of the total wagered)		24 007 02
Higher Education Fund	\$	31,997.93
(.1% of the total wagered)	ç	111,992.76
General Fund	Ş	111,992.70
(.35% of the total wagered)		
Returned to the Public	\$	29,163,272.37

### WAGERING ON HISTORICAL RACES TOTALS Combined- September 1, 2011 thru October 31, 2013

455,502,878,39	\$	Returned to the Public
		(35% of the total wagered.)
7,732,960.37	\$	General Fund
		(he total wagered)
ES'TET'S67	\$	Higher Education Fund
		(he total wagered)
ES'TET'S67	\$	Equine Drug Research
		(bayasew latot adt to %C )
70,263,099	\$	Equine Industry ProgramEquine
		(,75% of the total wagered)
9,713,486.50	\$	Development Fund
		(Pari-mituel taxf.,5% of the total wagered)
00,876,924,7	\$	State Commission
		(1% of the net track commission)
87.964,81£	\$	Breeder's Incentive Fund
0, 00, 0,0	•	(14% of the net track commission)
۲۰:۵۵۲,43۶ کا	\$	Purse Fund
	•	(Total Commission minus the pari-mutuel tax)
81,868,228,18	\$	Net Track Commission
	•	
		(Total wagered minus takeout rates)
61.698,672,eE	\$	Total Commission
96,131,533,45	\$	Total WageredTotal Wagered

# Total Handle on "Live" Kentucky Races: Keeneland

\$113.834.279.49	(\$72,471.60)	\$534,230.07	(\$4.246.05)	\$25375.620.50	\$139.667.373.43	Total Monthly
\$24,130,996.95	(\$5.05)	\$110,527.92	\$6.53	09.061,065,2\$	\$29,631,708.94	Week 4 Total
\$8,698,649.23	(\$1.31)	\$36,868.01	\$3,42	\$1,935,411.00	\$10,670,925.67	10/26/13
\$6,526,973,70	(\$1.66)	\$36,799,44	\$1.42	\$1,460,600.90	\$8,024,371.31	10/25/13
\$4,648,554.50	(\$1.97)	\$21,601.66	(\$6,518.36)	\$1,037,191.02	\$5,700,826.55	10/24/13
\$4,256,819.52	(tr.os)	\$15,258.81	\$6,520.05	\$956,987.68	\$5,235,585.41	10/23/13
\$89,703,282.54	(\$72,466.55)	\$423,702.15	(\$4,252.58)	\$19,985,429.90	\$110,035,664.49	Cumulative
\$31,687,183.71	(\$\$97,00)	\$139,759.72	(\$202.74)	\$7,082,052.10	\$38,908,186.98	Week 3 Total
\$6,093,059.32	(\$583.81)	\$27,954.61	\$2,40	\$1,361,614.52	\$7,482,045.63	10/20/13
\$9,093,660.74	(\$3.64)	\$41,404.36	(\$65,230.95)	\$2,015,510.96	\$11,085,339.91	10/19/13
\$6,790,689.15	(\$8.02)	\$26,180.27	\$56,297.95	\$1,525,361.68	\$8,398,517.71	10/18/13
\$4,651,179.79	(\$0.16)	\$23,523.25	\$8,719.69	\$1,041,067.99	\$5,724,488.94	10/17/13
\$5,058,594.71	(\$1.37)	\$20,697.23	\$8.17	\$1,138,496.95	\$6,217,794.79	10/16/13
\$58,016,098.83	(\$71,869.55)	\$283,942.43	(\$4,049.84)	\$12,903,377.80	\$71,127,477.51	Cumulative
\$32,612,870.78	(\$6.80)	\$162,445.80	(\$4,060,40)	\$7,265,289,43	\$40,036,525.01	Week 2 Total
\$6,340,516.70		\$28,354.04	(\$9,786.02)	\$1,410,348.71	\$7,769,431.30	10/13/13
\$9,780,105.17	(\$1.99)	\$56,420.74	(\$47,307.54)	\$2,169,103.71	\$11,957,813.07	10/12/13
\$7,172,281.48	(\$3.09)	\$37,076.51	\$40,839.63	\$1,607,311.91	\$2,857,503.55	10/11/13
\$5,057,645.70	(\$1.50)	\$20,009.07	\$8,287.52	\$1,128,626.09	\$6,214,565.68	10/10/13
\$4,262,321.73	(\$0.22)	\$20,585,44	\$4,406.01	\$949,899.01	\$5,237,211.41	10/09/13
\$25,403,228.05	(\$71,862.75)	\$121,496.63	\$10.56	\$5,638,088,37	\$31,090,952.50	Cumulative
\$25,403,228.05	(\$71,862.75)	\$121,496.63	\$10.56	\$5,638,088.37	\$31,090,952.50	Week 1 Total
\$6,097,238.30		\$31,574.85	\$1.73	\$1,365,277.66	\$7,494,091.26	10/06/13
\$11,209,942.71	(\$71,861.91)	\$55,265.64	\$6.19	\$2,472,505.28	\$13,665,853.54	10/05/13
\$8,096,047.04	(\$0.84)	\$34,655.14	\$2.64	\$1,800,305.43	\$9,931,007.70	10/04/13
Runner Pay	Neg Break	Pos Break	Adjustment	Continue	Digital Light	ימיני טמני

1. 13	1,686,091.29	137,981,282.14 \$	v
-2.13%	(643,349.25)	30,275,058.19 \$	٠
1.25%	135,094.27	10,535,831.40 \$	10/27/2012
-0.53%	(42,503.59)	s,066,874.90 S	10/26/2012
%88.S-	(555,529.53)	6,256,356.08 \$	10/25/2012
-3.33%	(180,410,40)	5,415,995.81 \$	10/24/2012
2.16%	2,329,440.54	107,706,223.95 \$	S
4.19%	1,564,111.38	37,344,075.60 \$	S
13,11%	867,469.28	6,614,576.35 \$	10/21/2012
-1.93%	(218,530.13)	11,303,870.04 \$	10/20/2012
-3.61%	(314,326.84)	8,712,844.55 \$	10/19/2012
3.29%	182,478.59	5,542,010.35 \$	10/18/2012
20.25%	1,047,020.48	5,170,774.31 \$	10/17/2012
1.09%	765,329,16	70,362,148,35 \$	s
-1.24%	(502,934.15)	40,539,459.16 \$	S
7.33%	530,528.14	7,238,903.16 \$	10/14/2012
0.59%	70,608.10	11,387,204.97 \$	10/13/2012
-1.72%	(154,996.82)	9,012,500.37 \$	10/12/2012
-6.23%	(455,805.23)	6,670,370.91 \$	10/11/2012
-8.61%	(493,268.34)	5,730,479.75 \$	10/10/2012
4.25%	1,268,263,31	29,822,689.19 S	Ş
4.25%	1,268,263.31	29,822,689.19 \$	~
-2.32%	(177,923.95)	7,672,015.21 \$	10/7/2012
11.04%	1,358,289.39	12,307,564.15 \$	10/6/2012
0.89%	87,397.27	9,843,109.83 \$	10/5/2012
r carcarrage	Carcicated	- 000	Save Save

Total Handle on "Live" Kentucky Races: The Red Mile

fference Perce	\$95 D83 D3	(C10) C04 331	(35.402,004.52)	\$1,755.66 (614.727.68)	(514,555.69)	(52,033,32)
					C2 (101 C2 7 00	
Race Date	10/4/2012	210/2/01	10/6/01	202/0/01	The second secon	
Runner Pay	5385,348.92	\$323,747,36	82 818 8275	\$447,733.21	\$1.595,648.07	\$1,595,648.07
Neg Break	(\$0.19)	(\$493.84)	(28.692.92)	(\$1,697.80)	(\$10,884,75)	(\$10,884.75)
Pos Break	\$2,408.29	\$1,825.84	\$3,659,96	\$2,698.77	\$10,592.86	\$10,592.86
Adjustment	(\$0.18)	(\$0.29)	(\$0.71)	(20.67)	(\$1.85)	(\$1.85)
Commission	5111,731.47	\$98,466.51	\$126,202.22	\$133,684.03	\$476,084.23	\$476,084.23
Total Handle	3505,488.51	\$423,545.58	\$559,987.13	\$582,417.54	\$2,071,438.56	\$2,071,438.56
Race Date	ET/SO/DT	10/04/13	10/05/13	10/06/13	Week 1 Total	Cumulative

Percentage
23.17%
-19.50%
0.31%
-2.40%
-0.96%

•	Report By:	Tracks:	Locations:	Race Type:	Date Range:	Addit Check Report
	Track	All Tracks	All Locations	AII	10/1/2013 - 10/31/2013	

Hawthorne	Hastings	Harrington Raceway	Gulfstream Park	Grand River Raceway	Golden Gate Fields	Freehold Raceway	Finger Lakes	Evangeline Downs	Delta Downs	Delaware Park	Colonial Downs	Chester Downs	Charlottetown	Charles Town	Calder Racecourse	Belmont Park	Batavia Park	Bangor Raceway	Balmoral	Australia C	Australia B	Australia	Alberta Downs Harness	Track	Host:	Report By:	Tracks:	
																									All Hosts	Track	All Tracks	
\$1,065,435.20	\$2,798.00	\$72,038.90	\$353,654.40	\$14,418.00	\$151,981.60	\$120,769.10	\$42,772.00	\$50,887.30	\$130,768.20	\$82,604.40	\$17,988.30	\$117,454.50	\$740.80	\$91,455.50	\$371,683.70	\$3,667,540.60	\$30,051.10	\$1,754.00	\$147,382.30	\$7,001.40	\$8,479.80	\$9,755.40	\$2,227.00	Total Handle				•
\$220,220.91	\$582.31	\$17,397.05	\$73,696.27	\$3,116.41	\$29,941.03	\$25,514.54	\$9,046.34	\$11,009.25	\$27,249.11	\$16,972.38	\$3,799.66	\$27,735.57	\$192.35	\$17,884.00	\$81,481.11	\$705,329.57	\$6,811.88	\$429.96	\$31,764.02	\$1,663.76	\$2,024.45	\$2,305.92	\$578.72	Commission		•		
\$59,704.90	\$452.96	(\$1,479.12)	\$25,980.01	\$1,411.61	\$2,421.16	(\$18,282.04)	\$292.91	\$3,258.30	\$1,776.74	\$4,927.61	\$1,173.89	\$5,220.26	\$37.78	\$3,805.67	\$18,925.04	\$67,396.92	\$186.28	\$371.32	(\$3,164.10)	\$1,560.33	\$248.44	\$1,930.52	\$277.61	Adjustment				
\$5,809.35	\$10.11	\$259.49	\$2,279.16	\$30.01	\$1,002.87	\$730.26	\$131.01	\$192.01	\$598.75	\$409.73	\$80.16	\$559.14	\$0.40	\$457.85	\$2,345.90	\$13,771.43	\$72.12	\$8.84	\$504.23	\$8.31	\$9.35	\$15.01	\$10.22	Pos Break				
(\$389.50)	(\$0.03)	(\$80.40)	(\$617.97)	(\$58.03)	(\$346.04)	(\$550.75)	(\$10.01)	(\$6.85)	(\$2.61)	(\$752.59)	(\$69.39)	(\$175.57)	(\$171.43)	(\$489.78)	(\$1,222.19)	(\$3,842.01)	(\$8.73)	(\$1.32)	(\$222.09)	\$0.00	\$0.00	\$0.00	(\$67.60)	Neg Break				
\$780,089.54	\$1 752 65	\$55.941.88	\$252,316.93	\$9,918.00	\$118,962.58	\$113,357.09	\$33,311.75	\$36,434.59	\$101,146.21	\$61,047.27	\$13,003.98	\$84,115.10	\$681.70	\$69,797.76	\$270,153.84	\$2,884,887.04	\$22,989.55	\$945.20	\$118,500.24	\$3,769.00	\$6,197.56	\$5,503.95	\$1,428.05	Runner Pay				

	Total Handle	Commission	Adjustment	Pos Break	Neg Break	Runner Pay
Hoosier Park	\$491,223.20	\$102,368.37	(\$20,797.07)	\$2,082.25	(\$61.67)	\$407,631.32
Indiana Downs	\$438,122.80	\$88,281.31	\$39,369.23	\$2,533.81	(\$265.93)	\$308,204.38
Laurel Park	\$584,548.10	\$124,359.55	(\$1,019.39)	\$3,786.46	(\$1,873.53)	\$459.295.01
Lebanon	\$5,432.60	\$1,150.78	(\$143.67)	\$25.73	\$0.00	\$4.399.76
Lone Star	\$24,509.30	\$5,394.86	\$107.15	\$101.44	(\$4.32)	\$18,910.17
Los Alamitos Quarters	\$29,371.30	\$6,314.54	(\$3,353.77)	\$119.84	(\$11.11)	\$26,301.80
Maywood Park	\$49,375.40	\$10,504.26	(\$460.60)	\$273.27	(\$1.61)	\$39,060.08
Wohawk Raceway	\$134,791.40	\$30,607.25	(\$33,612.12)	\$326.77	(\$47.06)	\$137,516.56
Monmouth Park	\$151,736.80	\$30,532.91	\$3,098.02	\$679.08	(\$22.60)	\$117,449.39
Monticello Raceway	\$278,063.30	\$60,727.97	(\$33,536.00)	\$764.75	(\$282.53)	\$250,389.11
Mountaineer Park	\$130,651.50	\$26,676.05	\$20,289.76	\$734.17	(\$35.08)	\$82,986.60
Northfield Park	\$312,086.80	\$67,418.57	(\$100,310.56)	\$1,139.20	(\$215.94)	\$344,055.53
Northlands Park	\$1,320.00	\$291.39	(\$179.91)	\$3.42	\$0.00	\$1,205.10
Northlands Park Harness	\$670.00	\$160.32	\$26.24	\$1.94	\$0.00	\$481.50
Penn National	\$182,121.00	\$40,990.78	\$6,743.31	\$1,174.28	(\$31.94)	\$133,244.57
Penn National - Special	\$748.00	\$112.19	\$501.68	\$0.13	\$0.00	\$134.00
Philadelphia Park/Parx	\$48,035.50	\$10,664.65	\$5,303.54	\$208.25	(\$0.72)	\$31,859.78
Picov Downs	\$170.00	\$42.05	\$18.17	\$0.43	\$0.00	\$109.35
Plainridge Racecourse	\$15,547.00	\$3,835.02	(\$746.47)	\$79.29	(\$0.24)	\$12,379.40
Poconos	\$80,918.50	\$18,545.41	\$2,590.10	\$374.08	(\$744.05)	\$60,152.96
Pompano Park	\$16,786.00	\$3,310.45	\$4,410.77	\$47.07	(\$345.88)	\$9,363.59
Portland Meadows	\$18,203.50	\$3,684.15	\$2,823.81	\$87.32	(\$10.47)	\$11,618.69
Prairie Meadows	\$2,072.90	\$429.60	\$253.38	\$6.32	\$0.00	\$1,383.60
Ked Wile	\$2,071,438.56	\$476,084.23	(\$1.85)	\$10,592.86	(\$10,884.75)	\$1,595,648.07
Kemington Park	\$101,204.00	\$21,400.33	\$7,095.14	\$495.66	(\$261.28)	\$72,474.15
Ketama Park	\$26,080.20	\$5,523.11	(\$2,277.44)	\$163.72	(\$2.90)	\$22,673.71
Kideau Cariton Kaceway	\$10,541.60	\$2,690.94	\$985.05	\$16.27	(\$0.90)	\$6,850.24
Kosecroft	\$4,234.40	\$981.67	\$719.53	\$12.97	(\$25.20)	\$2,545.43
Santa Anita Park	\$1,647,313.10	\$331,998.63	(\$44,600.37)	\$8,983.58	(\$1,733.52)	\$1,352,664.78
Saratoga Harness Raceway Night	\$21,227.40	\$4,729.75	\$116.53	\$58.01	(\$17.95)	\$16,341.06
Scarborough Downs	\$3,943.70	\$937.19	(\$113.27)	\$32.24	(\$1.78)	\$3,089.32

Sports Creek Raceway Suffolk Downs Summerside Raceway Night The Downs @ Albuquerque The Meadows The Raceway @ Western Fair District Turf Paradise Vernon Downs Watch and Wager Harness Will Rogers Downs Woodbine Woodbine Woodbine-Thoroughbred Yonkers Zia Park Total:
Total Handle \$2,529.00 \$103,360.40 \$30.80 \$3,543.20 \$267,899.00 \$267,891.30 \$7,181.50 \$69,217.80 \$7,527.20 \$80,991.20 \$811,973.40 \$372,480.60 \$375,325,742.36
Commission \$604.50 \$24,710.66 \$8.44 \$843.77 \$61,256.32 \$4,773.41 \$23,454.43 \$1,553.00 \$15,646.73 \$1,637.63 \$17,825.86 \$159,608.11 \$82,910.59 \$6,854.87 \$3,199,183.17
Adjustment (\$218.98) \$7,763.63 \$15.26 \$442.98 (\$22,551.47) \$278.29 \$1,229.17 (\$399.07) (\$9,628.99) \$1,135.87 (\$12,355.43) (\$6,040.42) (\$68,373.44) \$628.87 (\$76,339.81)
Pos Break \$21.53 \$540.09 \$0.00 \$1,235.96 \$28.78 \$1,030.52 \$22.40 \$196.57 \$26.13 \$201.27 \$2,843.06 \$1,130.18 \$180.26 \$71,667.57
Neg Break \$0.00 (\$39.26) (\$0.25) (\$0.12) (\$357.41) (\$357.41) (\$27.55) (\$122.87) (\$0.25) (\$0.25) (\$43.88) (\$0.07) (\$9.67) (\$753.34) (\$591.11) (\$2.40)
Runner Pay \$2,121.95 \$70,385.28 \$7.35 \$2,246.07 \$228,315.60 \$15,041.27 \$78,219.05 \$6,005.42 \$63,047.37 \$4,727.64 \$75,329.17 \$656,315.99 \$357,404.38 \$23,312.80 \$12,159,149.81